SPIRIT Implementation –
Final System Requirements Document
(FSRD)

Prepared for:

State of Alaska
Department of Health and Social Services

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By:

AK DHSS – WIC SPIRIT Implementation – FSRD

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1 Acronyms, Terms and Icon Legend

1.1 Acronyms and Terms

The acronyms and terms identified below are found within this document.

Acronym / Term	Description
A50	Above or Over 50% Vendor Indicator
ACH	Automatic Clearinghouse
ADD	Actual Delivery Date
AK	Abbreviation for the State of Alaska
AKWIC	Alaska Women Infants and Children's legacy software system
ASI	AnalyzeSoft, Inc. The implementation contractor for Alaska's WIC SPIRIT SAM project.
ATAP	Alaska Temporary Assistance Program
BMI	Body Mass Index
CDC	Centers for Disease Control
CMP	Civil Money Penalty
CPA	Competent Professional Authority, an individual with the authority to certify WIC participants.
CVV	Cash Value Voucher
DHSS	Department of Health and Social Services
DOB	Date of Birth
DPA	Department of Public Assistance
EBT	Electronic Benefit Transfer
EDD	Expected Delivery Date
EOD	End of Day process
EOM	End of Month process
FI	Food Instrument
FNS	Food and Nutrition Services
FReD	**F**unctional **Re**quirements **D**ocument for a Model WIC Information System
FSP	Food Stamp Program
FSRD	Final System Requirements Document
FTP	File Transfer Protocol, a method for transmitting files across the internet.
HEAT	Software System for Help Desk Support developed by Front Range Solutions and utilized by DHSS IT department.
ID	Identification
IS	Information System
LA	Local Agency

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Acronym / Term	Description
LDTU	Last Date To Use
LMP	Last Menstrual Period
NSA	Nutrition Services and Administration
MICR	Magnetic Ink Character Recognition
MOV	Mail Order Vendor
PDF	Adobe ® Acrobat TM file format extension
PedNSS	CDC Pediatric Nutrition Surveillance System
PLU	Price Look-Up
PNSS	CDC Pregnancy Nutrition Surveillance System
RFP	Request for Proposal
SoA	State of Alaska
SAM	State Agency Model
SOAP	Subject, Objective, Assessment, Plan Note or Care Plan
SPIRIT	*Successful Partners in Reaching Innovative Technology*
TANF	Temporary Assistance for Needy Families
TIP	The Integrity Profile Report
UAT	User Acceptance Testing
UPC	Universal Product Code
VENA	Value Enhanced Nutrition Assessment
VOC	Verification of Certification
WIC	Women, Infants and Children

1.2   Icon Legend

Icon	Description
	Online and Offline (Data Synchronization) capability is required for the associated requirement.
	Identifies pertinent EBT-readiness information.

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2   Introduction

This document identifies Alaska's final system requirements which *combine the 2008 FNS WIC Functional Requirements Document (FReD) for a Model WIC Information System* (RFP, Page 25 – Section 1.8 Final System Requirements Document (FSRD)) with the modifications that ASI has made in the transfer of the SPIRIT system to the State of Alaska. In addition, enhancements that have been defined by the State including mail order benefit delivery functionality are included.

This FSRD describes the high-level system requirements included in Alaska's transfer and implementation of SPIRIT *(Successful Partners in Reaching Innovative Technology)* which include Acronyms and Terms used throughout the document; this introduction; a high-level functional decomposition diagram; and finally the twelve (12) distinct functional areas referred to as Alaska WIC SPIRIT's primary requirements below.

In section four (4) of this document, each functional area identified below describes the primary system requirement (e.g., 4.1 Certification) and delves deeper to describe the secondary (e.g., 4.1.1 Create and Locate Data Records) and tertiary requirement(s) (e.g., 4.1.1.1 Create New Applicant Record) utilized by the Alaska WIC SPIRIT system.

Primary System Requirements located in Section 4 of this document:
   4.1 Certification
   4.2 Nutrition Education, Health Surveillance and Referrals
   4.3 Food Management
   4.4 Food Benefit Issuance
   4.5 Food Benefit Redemption, Settlement and Reconciliation
   4.6 Financial Management
   4.7 Caseload Management
   4.8 Operations Management
   4.9 Vendor Management
   4.10 Scheduling
   4.11 System Administration
   4.12 Reporting

Alaska's WIC SPIRIT system does not include FReD system requirements for 1) EBT functionality; 2) data warehousing; 3) direct distribution; 4) home delivery; 5) managing customer service or 6) help desk inquiries. EBT, direct distribution and home delivery are not utilized in the course of Alaska's WIC program. However, the SPIRIT system does contain the required functions for Alaska's EBT-readiness initiative therefore those requirements are included herein for informational purposes. Managing customer service and help desk inquiries are managed through a new DHSS IT Department's Help Desk process (which is to be determined)and finally, data warehousing is not a SPIRIT system function therefore these requirements have been omitted from this document.

The Final System Requirements Document will be used as the basis for ASI's development of use cases (scenarios) and detailed test scripts used throughout system testing and User Acceptance Testing (UAT) phases for Alaska's WIC SPIRIT transfer and implementation. In addition, this document will be maintained by ASI throughout the Development, UAT, Pilot, and Implementation stages culminating in the final delivery of documents to the SoA within ten (10) days of statewide rollout completion in the fall of 2012.

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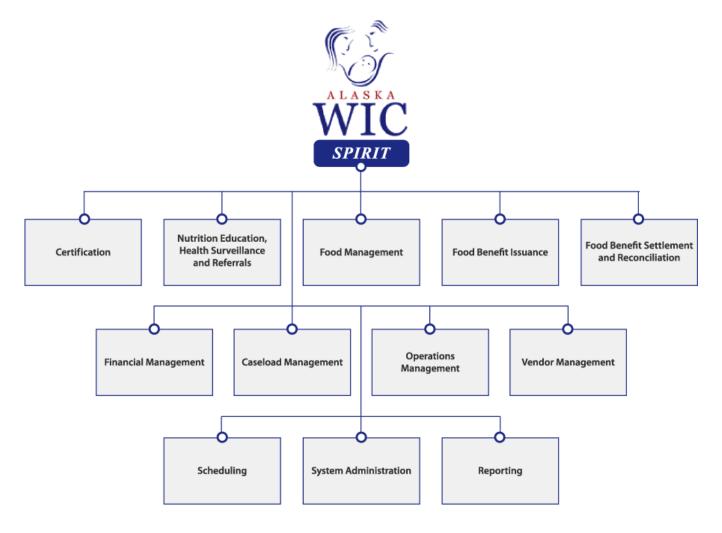204 N. Franklin St., Juneau, Alaska 99801 | Phone 907-500-7349   **7** | Page

3   High-Level Functional Decomposition

The following diagram depicts the twelve (12) Alaska WIC SPIRIT functional areas:

Figure 1- High-Level Alaska WIC SPIRIT Functional Areas

4 Final System Requirements

4.1 Certification

The Certification function is intended to support application processing and certification of WIC participants. To be certified as eligible to receive WIC benefits, applicants must meet categorical, income, residence, and nutrition risk requirements. WIC certification involves capturing relevant demographic, income, health-related, and referral data on applicants to and participants in the WIC Program with both online and offline functionality. In this area, eligible applicants are authorized to receive nutrition education, breastfeeding support, referral to health and social service programs, and food benefits. Upon certification WIC participants are prescribed a food package and are issued benefits *(see section 7: Food Benefit Issuance)*. Certification functionality also includes the ability to process participant data changes and transfers.

The following Certification Requirements were determined by the State of Alaska for the transfer and implementation of the SPIRIT application.

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Figure 2- Functional Decomposition: Alaska WIC SPIRIT – Certification

Certification

Create and Locate Records
- Create New Applicant Record
- Search for Applicant / Participant Record

Manage Application Process
- Maintain Basic Information on Applicant / Participant
- Screen Applicant for Prior Enrollment
- Determine Adjunct or Automatic Income Eligibility
- Determine Documented Income Eligibility
- Maintain Waiting List

Determine Nutrition Risk of Applicant
- Maintain Applicant Nutrition and Health Characteristics
- Calculate Body Mass Index and Produce Automated Growth Charts
- Capture and Document Blood Test Results
- Determine Nutrition Risk and Calculate Priority

Complete Certification
- Assess Applicant for Temporary Certification / Presumptive Eligibility Requirements and Documentation Status
- Certify Applicant
- Maintain Proxy Information

Prescribe Food Package
- Select and Tailor Food Prescription
- Change Food Prescription

Process Participant Changes and Transfers
- Change Household Grouping
- Change Participantion Status and / or Category
- Process In-State Transfers and Produce VOC
- Process Out of State Transfers and Produce VOC

4.1.1 Create and Locate Data Records

For successful system management, data records need to be maintained and accessible. This functional area describes the process of creating new data records with a unique identifier and subsequently locating the records through the Alaska WIC SPIRIT search function.

4.1.1.1 Create New Applicant Record

The system supports the creation of new records into which data will be entered. When creating new records, the system assigns a unique identification number for each applicant/participant record and a unique household identification number if one or more members are applying to/participating in WIC. A household identification number is assigned for the household and all individual participants in that household are linked to the household identification number using their participant identification number.

Inputs:
- Alaska WIC SPIRIT users will provide the minimally required demographic data.

Outputs:
- Alaska WIC SPIRIT system will assign a unique household identification number; the participant will also receive a unique identification number.
- The system will subsequently create the record.

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
B.2	Age Allowed for WIC Statuses *SPIRIT will utilize a minimum and maximum age for all WIC categories for the State of Alaska.*	Infant: 0 months (MIN) – 12 months (MAX) Child: 12 months (MIN) – 5 years (MAX) Woman: 8 years (MIN) – 65 years (MAX)
B.40	Default Dialog after Prescreening is Complete *SPIRIT will default to opening the prescreened applicants' Participant Folder upon saving the prescreening information.*	2 – Participant Folder
B.161	Set the WIC Category by the DOB for Infants and Children Only *SPIRIT will assign the WIC category for infant and children based on the participants' date of birth.*	Yes
B.263	Show the Race Button on the Prescreening Dialog *SPIRIT will not enable the Race/Ethnicity button on the Applicant prescreening window.*	No
B.311	Show the Staff Member Drop-down on the Demographics Tab *SPIRIT will display the staff member's name and allow it to be updatable on the Demographics sub-tab within the participant record. In addition, SPIRIT records all modifications, additions, and deletions of*	No – Show the Drop-down

information within the system database(s) respectively.	

4.1.1.2   Search for Applicant/Participant Record

The system has the capability to search for records using predefined criteria by comparing data search criteria with existing database records; displaying records that match search criteria; and allowing the user to access the data record(s) matching the search criteria.

Inputs:
- Alaska WIC SPIRIT users provide the minimally required search criteria.

Outputs:
- Alaska WIC SPIRIT system displays appropriate applicant/participant records.

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
B.9	Certification Date Displayed on Participant List *Certification Effective Date will be displayed in search results for each participant listed.*	EFFECTIV
B.43	Show Termination Information on Participant List *SPIRIT will display the termination date and termination reason for a selected participant from the participant search screen when the staff person selects "Show Details" for the selected participant.*	Yes
B.239	External Data Radio Button Is Displayed On the Participant List Dialog *SPIRIT will not display the radio button for External Data. This means that on the Clinic, Central Administrative Site, and State Office modules, searches are limited to WIC program participants who are on-site (Clinic only); in the local agency database (Clinic and Central Administrative Site); or statewide (Clinic, Central Administrative Site, and State Office).*	No
B.302	Hide Social Security Number (SSN) Field *SPIRIT will be able to utilize the SSN as a searchable item.*	No – The SSN will be searchable.

4.1.2   Manage Application Process

The Alaska WIC Program collects and maintains information on individuals applying for participation in the WIC Program. Individuals provide this data to the WIC Program when they telephone or visit the agency. If an applicant does not meet the basic requirements for category, residence, and income, the applicant will not continue with nutrition risk eligibility interviews and will not become a participant in the WIC Program at that time.

The workflow in WIC clinics varies. Some agencies perform basic eligibility and income screening prior to setting up a certification appointment. Others perform the eligibility and income screening at the same time as the nutrition risk assessment for certification. Therefore, the specific processes performed within the initial application process or included within the certification screening will vary according to the procedures performed by the local agency.

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Applicants who wish to participate in the WIC Program contact the WIC clinic to determine their eligibility to receive WIC benefits. When a local agency has reached maximum caseload capacity, a waiting list is established (see section *4.1.2.5*). Individuals already certified who are relocating from within or out of state receive priority over new applicants, and are generally enrolled immediately to minimize the interruption of services.

4.1.2.1 Maintain Basic Information on Applicant/Participant

The system allows the input of applicant/participant data (demographic and eligibility) needed to process a certification. Applicant/participant data can be added, changed, or deleted to maintain up-to-date information. The system links the records of people associated with the same household; links can be changed as household associations change.

Inputs:
- Alaska WIC SPIRIT users provide demographic and eligibility data.

Outputs:
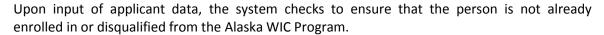- Alaska WIC SPIRIT system saves new/modified data to the applicant/participant record.

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
B.7	Capture Medical Home on the Additional Info 1 Sub-tab *"Medical Home" combo box will not display on the "Additional Info 1" tab (on Demographics tab) and therefore will not require an entry from the clinic.*	No
B.57	Capture Tribe on Race Ethnicity Dialog *Tribal Nation will not be captured on the "Race/Ethnicity" dialog.*	No
B.256	The Maximum Characters in Full Name Before Check Fonts Size Is Reduced *SPIRIT will automatically reduce the font on the check when a name reaches twenty-eight (28) characters.*	28 characters
B.302	Hide Social Security Number (SSN) Field *SPIRIT will display and accept entry of the SSN.*	No
B.305	Hide Medicaid ID Field (PMI #) *SPIRIT will display the PMI# field for entry of a Medicaid ID. The field is not required.*	No – Display field on Demographics Panel
B.307	Define the Number of Days Income Data Can Be Copied *SPIRIT will allow staff to copy previously recorded income information (within the last thirty (30) days) as current income information to meet eligibility guidelines.*	30 days
B.308	Define the Number of Days Residency Proof Can Be Reused *SPIRIT will automatically apply a change to Residency Proof for one household member to all members of the household for one-hundred and eighty (180) days after the proof was recorded.*	180 days

B.311	Show the Staff Member Drop-down on the Prescreening and Demographics Tabs *SPIRIT will display the staff member's name and allow it to be updatable on the Demographics sub-tab within the participant record.*	No
B.314	Remove Default Race Selection *SPIRIT will not default to a particular race when the race/ethnicity dialog box is invoked.*	Yes – Will not default to a particular race
B.320	Include Notes Subject *SPIRIT will enable the subject dropdown list for general and breastfeeding notes and display the selected subject on the View Notes screen within the participant folder.*	Yes
X.5	Enable Default Residency to Another Household Member's Residency Record *SPIRIT will provide the capability to copy current residency information to the participant currently viewed from another member of their household.*	Yes

4.1.2.2   Screen Applicant for Prior Enrollment

Upon input of applicant data, the system checks to ensure that the person is not already enrolled in or disqualified from the Alaska WIC Program.

Inputs:
- Alaska WIC SPIRIT users provide demographic information for applicant.

Outputs:
- Alaska WIC SPIRIT system checks existing records for potential matches and presents data for user action.

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
B.8	Potential Duplicate Applicant / Participant *SPIRIT will alert the staff person of a potentially duplicate record after the prescreening information has been entered and staff presses the "OK" button.*	Yes
B.55	Save Duplicate Demographic Information Option *SPIRIT will enable the capability to save potentially duplicate information. The system utilizes the participant's name and DOB to determine if the applicant is a potential duplicate (see Business Rule B.8).*	Yes

4.1.2.3   Determine Adjunct or Automatic Income Eligibility

The system enables the user to indicate whether an applicant, or one or more of the applicant's household members, is income eligible for WIC as a result of their eligibility for or enrollment in one or more other benefit programs such as Medicaid. The system allows for the documentation of proof documents.

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Inputs:

- Alaska WIC SPIRIT users provide adjunct or automatic eligibility information and the source of proof.

Outputs:

- Alaska WIC SPIRIT system records the information for the participant/household.
- Alaska WIC SPIRIT will determine / display the participant's adjunct income eligibility status.

4.1.2.4   Determine Documented Income Eligibility

The system accepts updates to the income eligibility guidelines via the Reference Utility.

The system accepts information related to an applicant's income and automatically determines if the person is income eligible based on reported data and income guidelines. The system performs all necessary calculations to determine the income amount to use for the income assessment and compares the amount to income guidelines to determine income eligibility. The system also captures information about the proof of income documentation used (e.g., pay stub, tax statement).

The system permits the applicant's income and household size information to be saved and applied, as appropriate, to other members of the economic unit who are also applying for WIC. Multiple income assessments are allowed within an active certification.

Inputs:

- Alaska WIC SPIRIT Program users provide income eligibility guidelines via the Reference Utility.
- Alaska WIC SPIRIT users add/update applicant/participant income information and the source of proof.

Outputs:

- Alaska WIC SPIRIT references the income guidelines in the Reference Utility for the applicable year.
- Alaska WIC SPIRIT records and displays the income information and income eligibility status for the applicant/participant.
- Alaska WIC SPIRIT system displays an immediate alert if the applicant/participant does not meet income eligibility requirements.
- Alaska WIC SPIRIT system will automatically terminate an applicant/participant who has not provided proof of income within the applicable timeframes. *See also 4.1.4.1.*

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**

B.38	Enable Copy Income Screening Contact *SPIRIT will provide the capability to copy current income information to the participant currently viewed from another member of their household.*	Yes
B.252	Default Frequency Displayed for Income Line Items *SPIRIT will default to the option "Monthly" when new income is added.*	12 – Monthly
B.257	Enable the "Other" Checkbox on the Income Calculator Dialog *SPIRIT will display the "Other" check box and enable the "Proof of Other" dropdown menu in the Income Calculator dialog box.*	Yes
B.307	Define the Number of Days Income Data Can Be Copied *SPIRIT will allow staff to copy previously recorded income information (within the last thirty (30) days) as current income information to meet eligibility guidelines.*	30 days
C.25	Copy Income Contact Data *SPIRIT will allow staff to copy previously recorded income information.*	Yes
X.1	Allow the Entry of Zero (0) as the Amount Per Year for Year Frequency *Clinic staff will not have the capability to record zero (0) income per year when the frequency of income selected is "Year" on the Income Calculator screen.*	No

4.1.2.5 Maintain Waiting List

For each local agency, the system maintains a waiting list of the applicants by priority who wish to enroll in the WIC Program when the agency's caseload is full. As caseload slots become available, the system identifies applicants on the waiting list by expected or determined priority level so the higher risk applicants are certified before the lower risk applicants.

Inputs:
- Alaska WIC SPIRIT State Office module provides the capability for staff to set the maximum caseload limit for each local agency. *See also 4.7.2.1.*

Outputs:
- Alaska WIC SPIRIT automatically places the local agency in wait list status when the caseload has been reached.
- Alaska WIC SPIRIT identifies and prioritizes applicants on the waiting list.
- Alaska WIC SPIRIT will add applicants who have been removed from the waiting list to the queue for notification (e.g., letter).

4.1.3 Determine Nutrition Risk of Applicant

Generally, the local agency assesses the nutrition risk of applicants at the time of certification. As part of the nutrition risk assessment, information is collected about the applicant's nutrition and health characteristics. Based on those characteristics, the WIC staff member is able to determine the appropriate nutrition risk conditions, nutrition education messages, food package prescription, and health care/social services referrals. Furthermore, this information is used to evaluate the individual's health and nutrition progress while participating in WIC.

Since participant health and nutrition data are received through various means and at different times,

the system allows users to review, add, change, and delete health and nutrition data at any time. However, those data that are the basis for eligibility determinations are maintained for audit tracking purposes.

4.1.3.1   Maintain Applicant Nutrition and Health Characteristics

The system allows the entry of applicant nutrition and health characteristics data. In addition, the system enables the data to be modified as necessary throughout the individual's application and certification period, but not after the certification period.

Inputs:
- Alaska WIC SPIRIT users record applicant nutrition and health data for the applicant/participant before and during the certification period.

Outputs:
- Alaska WIC SPIRIT records this information on the applicant/participant record.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.60	Gestational Diabetes Reminder *SPIRIT will not create a CPA alert if the participant is twenty-eight (28) weeks past her LMP date and does not have Risk Factor 302 assigned.*	No
B.61	Require Hospital Discharge Date *SPIRIT will not require the hospital discharge date for postpartum women.*	No
B.265	Default Start Dates Related to the Introduction of Formula or Foods to DOB *SPIRIT will not default the date for the introduction of formula or solid foods to the participants' DOB in the calendar object.*	No

4.1.3.2   Calculate Body Mass Index and Produce Automated Growth Chart

The system calculates the BMI based on entered data and CDC standards. The calculated BMI is used as the basis for assessing nutrition risk (e.g., assigning automated risks) of WIC applicants.

The system plots anthropometric measures automatically on a graphical chart. The system accepts updated growth data and recalculates the growth chart to show all values (current measure and previous measures).

Inputs:
- Alaska WIC SPIRIT users record applicant nutrition and health data for the applicant/participant before and during the certification period.

Outputs:
- Alaska WIC SPIRIT uses entered data to calculate BMI and produce appropriate growth charts.

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Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
B.306	Hide Pre-pregnancy Height on Health Information Screen *SPIRIT will utilize the current height with the participant's pre-pregnancy weight to calculate the pre-pregnancy BMI.*	Yes
B.321	Suppress Infant Birth Height and Weight on Infant Growth Grids *SPIRIT will display the birth measurement on the five (5) infant growth grids.*	No

4.1.3.3   Capture and Document Blood Test Results 🔁

The system allows the user to enter the date the blood test was performed and the test results. The system identifies participants that require bloodwork according to regulations and business rules.

Inputs:
- Alaska WIC SPIRIT users record blood work values for the participant.

Outputs:
- Alaska WIC SPIRIT uses entered data to assign appropriate risk factors.

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
B.16	Child Subsequent Certification Blood Work Requirement *SPIRIT will require new blood work information for a child for each subsequent certification.*	Yes
B.26	Infant Certification Blood Work Requirement *SPIRIT will require a blood work value for infants once they reach nine (9) months of age.*	9 months
B.185	Attained Age in Months to Begin Infant Blood Work (CPA Alert) *CPA alert should be generated for infants on a tri-monthly issuance cycle who do not have blood work recorded in the system.*	9 months

4.1.3.4   Determine Nutrition Risk and Calculate Priority 🔁

The system automatically assigns risk codes for each applicant based on the raw data (i.e., blood test results, height/weight measurements, etc.) captured in the system. Based on nutrition assessment and professional discretion, the WIC staff member has the ability to add to or override risk factors assigned by the system. The system ensures that the possibility of regression to the same risk condition is not used for consecutive certification periods.

Inputs:
- Alaska WIC SPIRIT users record anthropometric information.
- Alaska WIC SPIRIT users manually assign appropriate risk factors.
- Alaska WIC SPIRIT users override system assigned risk factors.

Outputs:

- Alaska WIC SPIRIT uses entered data to assign appropriate risk factors and calculate participant priority.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.42	Allow Adding Risk Factors within the Participant Folder *Risk Factors can be assigned automatically by SPIRIT based upon participant information that is provided after the participant has been certified.*	Yes
B.133	Use Two Most Recent Measurements in Calculating Risk Factor 133 for Pregnant Women *SPIRIT will assign this risk factor to pregnant women (current pregnancy) when a single baby is expected and any weight measurement during the pregnancy certification puts the mother above the "High" curve on the Pregnancy growth grid.*	No
B.267	Show the WIC Category in the Nodes of the Risk Factors Tree View *SPIRIT will display the WIC Category next to the date that the risk factor(s) were assigned.*	Yes
B.270	System Assigns Risk Factor 114 (At Risk of Becoming Overweight) *SPIRIT will not automatically assign Risk Factor 114 – At Risk of Becoming Overweight, for children and infants, where applicable.*	No
B.271	System Assigns Risk Factor 135 (Short Stature) *SPIRIT will automatically assign Risk Factor 135 – Inadequate Growth, for children and infants, where applicable.*	Yes
B.272	System Assigns Risk Factor 141 (Low Birth Weight) *SPIRIT will automatically assign Risk Factor 141 – Low Birth Weight, for children and infants, where applicable.*	Yes
B.273	System Assigns Risk Factor 211 (Elevated Blood Lead Levels) *SPIRIT will not automatically assign Risk Factor 211 – Elevated Blood Levels, for all WIC Categories.*	No
B.274	System Assigns Risk Factor 331 (Pregnancy at a Young Age) *SPIRIT will automatically assign Risk Factor 331 – Pregnancy at a Young Age for Pregnant, Breastfeeding, and Non-Breastfeeding WIC categories, where applicable.*	Yes
B.275	System Assigns Risk Factor 335 (Multifetal Gestation) *SPIRIT will automatically assign Risk Factor 335 – Multifetal Gestation for Pregnant, Breastfeeding, and Non-Breastfeeding WIC categories, where applicable.*	Yes
B.276	System Assigns Risk Factor 337 (Multifetal History of a Birth of a Large for Gestational Age Infant) *SPIRIT will automatically assign Risk Factor 337 – Multifetal History of a Birth of a Large for Gestational Age Infant for Pregnant, Breastfeeding, and Non-Breastfeeding WIC categories, where applicable.*	Yes
B.278	System Assigns Risk Factor 601 (Breastfeeding Woman of an Infant at Nutritional Risk)	Yes

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	SPIRIT will automatically assign Risk Factor 601 – Breastfeeding Woman of an Infant at Nutritional Risk, for women in the Breastfeeding WIC category, where applicable.	
B.279	System Assigns Risk Factor 701 (Infant up to 6 Months Old of a WIC Mother, or of a Woman who would have been Eligible during Pregnancy) *SPIRIT will automatically assign Risk Factor 701 – Infant up to 6 Months Old of a WIC Mother, or of a Woman who would have been Eligible, for infants, where applicable.*	Yes
B.280	System Assigns Risk Factor 702 (Breastfeeding Infant of a Woman of Nutritional Risk) *SPIRIT will automatically assign Risk Factor 702 – Breastfeeding Infant of a Woman of Nutritional Risk, for infants, where applicable.*	Yes
B.281	System Assigns Risk Factor 903 (Foster Care) *SPIRIT will automatically assign Risk Factor 903 – Foster Care, if appropriate for all WIC Categories.*	Yes

4.1.4 Complete Certification

After all of the required data are collected, the information is reviewed to ensure that all requirements have been met and that the applicant meets the criteria for participation in the Alaska WIC Program. If the applicant is eligible and has completed all of the requirements, he/she is certified to participate in WIC and will be eligible to receive benefits.

4.1.4.1 Assess Applicant for Temporary Certification/Presumptive Eligibility Requirements and Documentation Status

Alaska State policy permits the applicant to be certified temporarily or the pregnant woman to be presumptively eligible. The system allows the certification to be completed for the appropriate time period. The system supports the management of these certifications to ensure participants provide required information in the appropriate timeframes based on regulations. The system limits food instrument issuance until a proof documentation has been provided for applicants who are temporarily certified and for pregnant women who are deemed presumptively eligible.

Inputs:
- Alaska WIC SPIRIT users select proof of income, residency, and ID.
- Alaska WIC SPIRIT users provide presumptive eligibility information (*Medicaid only, per State Policy*).

Outputs:
- Alaska WIC SPIRIT system evaluates applicant information and certifies applicant based on the information provided by the user subject to State policy and regulations.
- Alaska WIC SPIRIT system will generate a list of participants that need to provide documentation.
- Alaska WIC SPIRIT system will automatically terminate temporarily certified participants that fail to bring in documentation in time. *See also 4.1.4.1.*

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Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.63	Limit Certification with Pending Income Proof *A participant can be certified up to ninety (90) days without proof of income. After which the participant will be terminated for lack of proof.*	90 days
B.64	Limit Certification with Pending Proof of Residency *A participant can be certified up to ninety (90) days without proof of residency. After which the participant will be terminated for lack of proof.*	90 days
B.65	Limit Certification with Pending ID Proof *A participant can be certified up to ninety (90) days without proof of identity. After which the participant will be terminated for lack of proof.*	90 days
B.250	Generate a CPA Review Alert When ID Proof Is Needed *SPIRIT will create a CPA alert when the participant's proof of identification is "PENDING PROOF". The system will display that alert each time the participant record is accessed and/or when they're toggled on-site.*	Yes

4.1.4.2 Certify Applicant

Based on the data entered, the system will determine whether an applicant is eligible to be certified for the Alaska WIC Program. The system automatically calculates the date the participant's certification is due to expire. If there is missing information required for a certification, the system will notify the user of what is missing.

Inputs:
- Alaska WIC SPIRIT users provide minimally required information per regulations and business rules.

Outputs:
- Alaska WIC SPIRIT system evaluates participant information and determines whether the applicant is eligible.
- If certifiable, Alaska WIC SPIRIT system certifies the applicant, calculates the certification end date and updates the participant record.
- If applicant is not eligible for the Alaska WIC Program, the system records ineligibility and presents the letter of ineligibility to the user for printing.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.3	Certify Infants up to 1st Birthday if < 6 months old *When an infant, who is less than six (6) months old at the time of certification is certified, the certification end date will automatically display a date one (1) day prior to the infants first birth date.*	Yes
B.10	Participant Was Physically Present During Certification *SPIRIT will require the selection of Physical Presence during the Certification Guided Script. It will be visible but disabled on the*	Yes

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		Participant Folder. A selection made during the Certification Guided Script will be visible on the Participant.	
	B.13	Certify Participant to the Last Day of the Month *SPIRIT will not automatically adjust a participants' certification end date to extend it to the last day of the month in which their certification ends.*	No
	B.14	Adjust Certification End Date for Weekends *SPIRIT will not adjust certification end dates so that they end on the Friday before the weekend if the certification end date falls on a Saturday or Sunday.*	No
	B.19	Maximum Days VOC is Valid [Per Category] *SPIRIT will automatically limit the number of days a participant can be certified with a VOC.*	B: 364 days N: 179 days P: 315 days I: 364 days C: 179 days
	B.25	Mark Participants with Incomplete Certification Attempts as Ineligible *SPIRIT will mark the participant as ineligible if their certification attempt is not completed within 31 days of the beginning of the certification attempt. In addition, SPIRIT will create a CPA alert when the participant's proof of identification is "PENDING PROOF". The system will display that alert each time the participant record is accessed and/or when they're toggled on-site.*	Yes Migrant: 31 days Pregnant: 31 days Other:31 days
	B.27	Use New Pregnancy Defaults *SPIRIT will utilize Indiana's new pregnancy defaults. When an existing woman participant is recertified, SPIRIT will display a dialog box requiring selection of the new WIC category for this participant. In addition, SPIRIT will not allow an existing pregnant participant to be recertified as pregnant without a post-partum record (pregnancy outcomes for the prior certification).*	Yes
	B.35	Blood Work Required for All Certifications *SPIRIT will not require a blood work prior to completing certification.*	No
	B.36	Blood Work Required for Certification (Not Physically Present) *SPIRIT will not require a blood work prior to completing certification.*	No
	B.62	Limit Certification with Delayed Blood Work *A participant can be certified up to ninety (90) days without a blood work record. After which the participant will be terminated for lack of blood work values.*	90 days
	B.71	Height/Weight Required for Certification (Not Physically Present) *SPIRIT will not require a height and weight prior to completing certification.*	No
	B.156	Only Require Issuance Frequency on CPA-determined Follow-up *SPIRIT will allow the CPA to specify follow-up information for the participant by only requiring the Issuance Frequency field when entering CPA-determined follow-up information.*	Yes
	B.182	VENA Contact Information Required During Certification Guided Script *SPIRIT will require a VENA contact to be completed in order to certify a participant and issue benefits.*	Yes
	B.208	Number of Days a Participant Can Be Certified Without Blood Work and Risk 503 (VOC)	365 days

	SPIRIT will allow three hundred sixty-five (365) days to pass on a participant certified with Risk Factor 503 (VOC) without blood work values before terminating the participant's certification.	
B.209	Number of Days a Participant Can Be Certified Without Height, Weight and Risk 503 (VOC) *SPIRIT will allow three hundred sixty-five (365) days to pass on a participant certified with Risk Factor 503 (VOC) without height and weight values before terminating the participant's certification.*	365 days
B.292	Additional Information Required for VOC Certification Process *SPIRIT will not require additional VOC information for Breastfeeding, Non-breastfeeding and Pregnant women.*	No
B.301	Automatically Print a Certification Notice *The Certification Notice will not automatically print but will be user generated on-demand.*	No
B.310	Show the Certification History Tab in the Participant Folder *SPIRIT will display a Certification History tab which allows users to view all previous certifications for a participant and the staff member who completed each step of the certification process.*	Yes
B.313	Electronically Capture Staff Member Signature *SPIRIT will require the staff member to record their electronic signature to validate the determination of program eligibility for a participant.*	Yes
B.316	Nutrition Education Required to Complete Certification *SPIRIT will not require an individual nutrition education contact in order to certify a participant.*	No
B.317	SOAP Note is required to Complete Certification *SPIRIT will require a SOAP note in order to complete a certification for a participant.*	Yes

4.1.4.3 Maintain Proxy Information

Once the WIC staff determines an applicant is certified for the Alaska WIC Program, the user should enter any data on proxy, alternate, or authorized representatives who can pick up or redeem food benefits on the participant's behalf. This information is updateable at any time during an active certification.

Inputs:
- Alaska WIC SPIRIT users enter proxy/alternate/authorized representative information on the participant record.

Outputs:
- Alaska WIC SPIRIT system updates the participant record.

4.1.5 Prescribe Food Package

Once the WIC CPA has certified the applicant, the system assigns a default food package based on the category and nutrition risk of the participant. Functionality for determining standard food packages is included in the Food Management section *(section 4.3)*.

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The system captures data about the participant's assigned food package and schedule for picking up the food benefits. Because the nutritional health or dietary needs of participants may change, the WIC CPA is able to tailor or change the participant food package prescription at any time within a certification period if medically or nutritionally warranted. The system reminds users when there is a change in a participant's status that necessitates a change in the prescribed food package.

4.1.5.1   Select and Tailor Food Prescription

The system captures and stores the prescribed food package for each participant consistent with the participant's categorical status and age. The system allows for individual tailoring of the food package as allowed by State policy. The system verifies that the prescribed food package and participant category match (i.e., a child cannot receive an infant package) and initially prescribes a default food package which can be modified. The system captures whether medical documentation for qualifying conditions is on file.

Inputs:
- Alaska WIC SPIRIT users initiate food package selection by pressing the "Default Food Package" button.
- Alaska WIC SPIRIT users tailor the food package as appropriate.

Outputs:
- Alaska WIC SPIRIT system displays the default food package and its contents for tailoring.
- Alaska WIC SPIRIT system alerts the user if there is an inappropriate selection or over-issuance.
- Alaska WIC SPIRIT system records the food package information on the participant record.

4.1.5.2   Change Food Prescription

The system allows authorized users to change the food benefit prescription assigned to a participant as necessary.

Inputs:
- Alaska WIC SPIRIT users modify/change the food benefit prescription as appropriate.

Outputs:
- Alaska WIC SPIRIT system records the food package information on the participant record.

4.1.6 Process Participant Changes and Transfers

The system captures and process changes, as necessary, to individual participant data. These changes could be to demographic data, household grouping, or participant status. The system also accommodates transfers between local agencies within the State agency and from WIC Programs in other State agencies. This function also includes producing verification of certification (VOC) documents for transfers.

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4.1.6.1   Change Household Grouping 🔄

The system allows authorized users to change the household grouping of individual participants and to make other changes to participant data, as necessary.

Inputs:
- Alaska WIC SPIRIT users modify household groupings and/or make changes to participant data.

Outputs:
- Alaska WIC SPIRIT system records and saves the changes to the household groupings and/or the changes made to participant data.

4.1.6.2   Change Participation Status and/or Category 🔄

The system allows authorized users to change the participation status of participants as necessary. The system automatically changes the participant's category when applicable (e.g., when an infant becomes 1 year old, when a pregnant woman delivers her baby) and the participant's status when applicable (e.g., when a participant certification period has ended).

Inputs:
- Alaska WIC SPIRIT users change participant status and/or category as appropriate.

Outputs:
- Alaska WIC SPIRIT system automatically updates the participant record, if applicable.
- Alaska WIC SPIRIT system modifies the participant record based on the category/status change that has been identified.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.25	Mark Participants with Incomplete Certification Attempts as Ineligible *SPIRIT will mark the participant as ineligible if their certification attempt is not completed within 31 days of the beginning of the certification attempt. In addition, SPIRIT will create a CPA alert when the participant's proof of identification is "PENDING PROOF". The system will display that alert each time the participant record is accessed and/or when they're toggled on-site.*	Yes Migrant: 31 days Pregnant: 31 days Other:31 days
B.260	Days Prior To Termination for Pending Termination Notice Distribution *SPIRIT will allow official pending termination notices to be printed for participants whose certification end date is within fifteen (15) days of today's date.*	15 days
B.282	Termination Notice Warning Period *SPIRIT will allow official Certification Due Letter to be printed for participants whose certification end date is within thirty (30) days of today's date.*	30 days

4.1.6.3   Process In-State Transfers and Produce VOC

The system allows for the transfer of individual participants and households across local agencies in the same State.

Inputs:
- Alaska WIC SPIRIT users transfer individual participants and/or households into local agencies within the state.

Outputs:
- Alaska WIC SPIRIT system modifies the participant record(s).

4.1.6.4   Process Out of State Transfers and Produce VOC

The system supports the transfer of participants to other States. The system generates a VOC as needed.

Inputs:
- Alaska WIC SPIRIT user generates a VOC for the participant and if appropriate, terminates the certification.

Outputs:
- Alaska WIC SPIRIT system presents the VOC for printing.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.19	Maximum Days VOC is Valid [Per Category] *SPIRIT will automatically limit the number of days a participant can be certified with a VOC.*	B: 364 days N: 179 days P: 315 days I: 364 days C: 179 days
B.292	Additional Information Required for VOC Certification Process *SPIRIT will not require additional VOC information for Breastfeeding, Non-breastfeeding and Pregnant women.*	No
B.299	Number of VOC Documents That Can Be Issued/Printed *SPIRIT will limit the number of VOC documents to be printed for a participant to ninety-nine (99).*	99
B.300	Generate a Note in the Participant Folder when VOC is Printed *SPIRIT will create a note in the Participant Folder when a VOC document is printed.*	Yes

4.2   Nutrition Education, Health Surveillance, and Referrals

This functional area is intended to capture nutrition-related information about WIC Program participants; this area captures nutrition education and breastfeeding support services provided, as well as, track referrals and captures population characteristics for reporting. The nutrition education, health, and referral data are assessed for individual participants, but may be used across populations. This information is needed for the Federal Participant Characteristics Datasets and the CDC Pediatric Nutrition Surveillance System (PedNSS) and Pregnancy Nutrition Surveillance System (PNSS). This functional area also includes interacting with the Immunization Program.

The following Nutrition Education, Health Surveillance and Referral Requirements were determined by the State of Alaska for the transfer and implementation of the SPIRIT application.

Figure 3- Functional Decomposition: Alaska WIC SPIRIT – Nutrition Education, Health Surveillance, and Referrals

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4.2.1 Maintain Nutrition Education Data

The system allows local agencies to offer nutrition education to all participants. The education covers a variety of topics and is provided through individual counseling, group classes, or via electronic media (e.g., kiosks or web-based nutrition education). Alaska WIC staff members will show participants how to use prescribed foods in healthy ways, and provide information on other topics that will meet the participants' specific needs (e.g., the importance of breastfeeding). Nutrition education sessions are often scheduled concurrently with food instrument pick-up to facilitate provision of nutrition education.

4.2.1.1 Create Participant Care Plan

Based on the nutrition risk assessment data collected during the certification process, the system generates an individual Participant Care Plan. The Plan has the capacity to be updated for the participant at each clinic visit and maintains appropriate historical information.

Inputs:
- Alaska WIC SPIRIT users enter applicable Subjective, Objective, Assessment, and Plan (SOAP) information.

Outputs:
- Alaska WIC SPIRIT system records and presents the Participant Care Plan for printing.

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
B.44	Remove Subjective from SOAP Note Template *SPIRIT will not remove the "S:" (Subjective) header from the SOAP Note template.*	No
B.46	Include Nutrition Education in SOAP Note *Individual primary nutrition education contacts and goal setting information will display in the Objective section of the SOAP note.*	Yes
B.47	Include Default Assessment for Risk Factors in SOAP Note *An assessment (or description) for each risk factor assigned to the participant will be displayed in the participants SOAP note. These assessments are managed in the Reference Utility under Risk Factors.*	Yes
B.48	Include Default Plan for Risk Factors in SOAP Note *A default plan for each risk factor assigned to the participant will be displayed in the Plan section of the participants SOAP note. These plans are managed in the Reference Utility under Risk Factors.*	Yes
B.56	View Notes for Participant Sort Order *SPIRIT will display notes for a participant in reverse chronological order (most recent first).*	R – Reverse Chronological Order
X.2	Print SOAP Notes *Clinic staff will have the capability to print a participant SOAP note.*	Yes

4.2.1.2 Track Nutrition Education Contacts and Topics Covered

The system captures nutrition education topics covered for each participant throughout the

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certification period in any authorized mode (individual, group, online).

Inputs:
- Alaska WIC SPIRIT users enter nutrition applicable education/training information.

Outputs:
- Alaska WIC SPIRIT system displays a report for nutrition education provided.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.32	Allow Deletion of Nutrition Education Contacts *SPIRIT will not allow a nutrition education contact to be deleted once it has been created and saved by the user.*	No
B.54	Work with On-site Group Display Option *SPIRIT will display all household members in the Work with On-site Display option.*	M – All Members of Household
B.309	Allow Recording of Materials Given to Participants *SPIRIT will provide the capability for clinic staff to record materials that have been provided to participants.*	Yes

4.2.2   Perform Participant Referrals

The Alaska WIC Program is required to provide WIC applicants and participants, or their designated proxies, with information on other health-related and public assistance programs (e.g., Medicaid, Food Stamp Program, etc.), and, when appropriate, refer them to such programs. In addition, local agencies are required to maintain and make available for distribution to all applicants and participants a list of local resources for drug and other harmful substance abuse counseling and treatment. WIC staff members regularly receive applicants who have been referred from other programs or external organizations. The Alaska WIC SPIRIT system is used to track referrals made to and from outside entities.

4.2.2.1   Track Incoming and Outgoing Referrals

When a referral is made, the system is used to record the name of the program to which the participant was referred for each certification period. The system also tracks the organizations that have referred applicants/participants to WIC.

Inputs:
- Alaska WIC SPIRIT users enter incoming/outgoing referral information.

Outputs:
- Alaska WIC SPIRIT system presents a referral notice and includes participant information in a referral report.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.128	Display Refer to Breastfeeding Peer Counselor *SPIRIT will display the checkbox "Refer to Breastfeeding Peer*	Yes

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	Counselor" on the VENA panel.	
B.296	Enable the Peer Counselor Referral Button from the Nutrition Education Contact Control *SPIRIT will display the "Peer Counselor Referral" button from the Nutrition Education Contact dialog window. When clicked, SPIRIT will log a Breastfeeding Peer Counselor Referral record.*	Yes
X.6	Referral Contacts Allowed Per Day *SPIRIT will allow up to nine hundred and ninety-nine (999) referral contacts a day.*	999

4.2.3 Provide Voter Registration Information

As a service to participants, the Alaska WIC program provides printed voter registration information and forms.

4.2.3.1 Provide Voter Registration Information

The system tracks whether the participant is registered to vote if he/she is at least eighteen (18) years of age or older.

Inputs:
- Alaska WIC SPIRIT users select whether the participant is registered to vote.

Outputs:
- Alaska WIC SPIRIT system records the information on the participant record.

Applicable Business Rule (BR) Modifications		
BR ID	*Title*	*Value(s) Chosen*
X.4	Enable Register to Vote dropdown for Infants and Children *SPIRIT will not display the dropdown that captures whether the participant is registered to vote if the participant is an infant or a child.*	No

4.2.4 Determine Immunization Status

The Alaska WIC program's mission is to be a full partner in ensuring the health and nourishment of women, infants, and children. Low-income children are less likely to be immunized than their counterparts, which places them at higher risk for potentially serious diseases, such as diphtheria, pertussis, poliomyelitis, measles, mumps, and rubella. Alaska's WIC program assists in the immunization effort by ensuring that WIC infants and children are screened and referred for immunizations using a documented immunization history record.

4.2.4.1 Screen and Refer Participant for Immunization Services

The system is used to document that the immunization record was checked and that the participant was referred for immunization services (if necessary), or the reason the participant was not referred. In addition, Alaska WIC staff members may record immunization history but this information is not required.

Inputs:

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- Alaska WIC SPIRIT users select whether the participants immunization record is up-to-date or not.
- If desired, Alaska WIC SPIRIT users provide the immunization history for the participant.
- If desired, Alaska WIC SPIRIT users create a referral for Immunizations from the Referrals tab on the participant record.

Outputs:

- Alaska WIC SPIRIT system records the immunization and if provided, the referral information on the participant record.
- Alaska WIC SPIRIT system can print a Vaccine Coverage Report for the selected participant.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
C.12	Display Immunization Status (From an External System) *SPIRIT will not display the participants' immunization status from an external system.*	No
C.13	Dose Due Information Source (From an External System) *SPIRIT will utilize a system algorithm instead of receiving dose due information from an external registry to identify when an immunization dose is due.*	A – System Algorithm

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4.3 Food Management

Food management is an administrative function carried out at the State agency level. It involves establishing a food Category/Subcategory table, establishing information on approved foods, the construction of food packages, and creating food instrument-based food package data.

The State WIC Program designates approved foods that participants can purchase with WIC food instruments. To facilitate the prescription of foods to participants, WIC Program regulations delineate maximum monthly allowances and authorized substitutions for all WIC-eligible foods. Food packages are structured for each WIC category (e.g. pregnant, breastfeeding, and postpartum women, infants, and children) as well as to address specific nutritional risks or lifestyles. The various packages developed may vary in the types, physical forms and brands of food approved to address different nutritional requirements as well as cost management considerations.

Food instrument refers to a voucher (including a CVV), check, warrant, or other document that is used to obtain supplemental foods. Each food package may consist of one or more food instrument types. Food instrument types are the various possible grouping of foods used to make up a complete food package spreading the foods across multiple food instruments to allow participants to use benefits throughout the month rather than force them to buy all of their WIC items at one time. A food instrument type may contain one or more specific approved foods. The foods identified for each food instrument type will include the food name (e.g., whole milk), a food unit size (e.g., gallon), and a food unit quantity (e.g., three units). For fruits and vegetables redeemed using a paper cash value voucher, the food instrument type will include the food name (e.g., fruits and vegetables) and a food unit dollar amount (e.g., $6). For infants, the food instrument usually identifies the brand, type of infant formula, and form of infant formula (e.g., Similac, milk-based, concentrate). The State agency issues three to four food instruments per month to coincide with participant shopping patterns.

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Figure 4- Functional Decomposition: Alaska WIC SPIRIT – Food Management

4.3.1 Maintain Food Categories/Subcategories 🔲

The Food Category/Subcategory Table is required for EBT implementation and recommended for Alaska's paper environment as part of EBT readiness functionality. The Category/Subcategory codes are used to electronically identify generic types of food items.

The table includes food categories and subcategories and associates them with a numerical identifier. Categories use a two-digit identifier for each food type such as Milk (01), Cheese (02), Eggs (03), Juice (04), and Cereal (05). Each category is then broken down further into smaller classifications called subcategories and identified with a three digit number. For example, milk subcategories include Any (000), Whole (001), Low Fat (002), Fat Free (003), and Buttermilk (004). In this example, fat free milk would be denoted as 01-003. Additionally, a default unit of measure is assigned to each category. For example, the default unit of measures for milk is one quart, cereal is one ounce, and eggs are one dozen.

USDA FNS maintains a National Category/Subcategory list that is used in setting up the system's Category/Subcategory Table. The table is used along with the list of approved foods in establishing food data in the system.

4.3.1.1 Maintain Food Category/Subcategory Table 🔲

Using the National Category/Subcategory list, the system maintains a Category/Subcategory Table. When updates or additions are made to the National list or an adjustment needs to be made to meet Alaska's needs, the system supports manual updates to the Food Category/Subcategory Table.

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Inputs:

- Alaska WIC SPIRIT system maintains the food category/subcategory table list.
- Alaska WIC SPIRIT users manually update the food category/subcategory table.

Outputs:

- Alaska WIC SPIRIT system records the information in the respective tables and columns of the SPIRIT database when updates are made to the food category/subcategory table.

4.3.2 Maintain Foods and Food Package Information

In general, data about WIC foods and food packages should be relatively stable. The system supports the input and maintenance of food items data, which is then used to construct and maintain food package data.

4.3.2.1 Establish and Maintain Approved Foods

The Alaska WIC SPIRIT system captures information about the authorized foods approved for use by the State of Alaska for use in establishing food packages. The system supports adding new foods and deleting foods from the list of approved foods.

Inputs:

- Alaska WIC SPIRIT users establish and maintain approved State of Alaska WIC food data in the system via the Reference Utility.

Outputs:

- Alaska WIC SPIRIT system saves food data in the appropriate database tables.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.220	Enable Food Distribution Item Description 2 *SPIRIT will enable the Food Item Description #2 which provides added space for the food item description.*	Yes

4.3.2.2 Setup and Maintain Food Package Data

The Alaska WIC SPIRIT system supports the creation and maintenance of food packages. (Note that for a cash-value voucher benefit the unit quantity and/or the amount prescribed would be the dollar value of the cash-value voucher.)

Inputs:

- Alaska WIC SPIRIT user's setup food packages (the culmination of food items) for at a minimum, each WIC category (Infant, Child, Pregnant, Breastfeeding and Post-Partum) via the Reference Utility.

Outputs:

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- Alaska WIC SPIRIT system stores the food package information in the appropriate database tables.

Applicable Business Rule (BR) Modifications		
BR ID	*Title*	*Value(s) Chosen*
B.249	Date New Food Package Rules Are Implemented *SPIRIT will utilize a sunrise (effective) date for new food package rules.*	08/03/2011

4.3.2.3 Determine Food Package Proration Schedule

Although the Alaska WIC Program does not prorate food packages, the system has the capability to establish prorated food packages to be used for late pick-ups or to allow for the synchronization of participants in a household with the same food benefit prescription start date.

<u>Inputs:</u>
- Not Applicable

<u>Outputs:</u>
- Alaska WIC SPIRIT system, utilizing the established business rules, prorates food packages in accordance with the business rule value.

Applicable Business Rule (BR) Modifications		
BR ID	*Title*	*Value(s) Chosen*
B.191	Maximum Days for Quarter Prorated Food Package – Breastfeeding *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.192	Maximum Days for Half Prorated Food Package – Breastfeeding *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.193	Maximum Days for Three Quarter Prorated Food Package – Breastfeeding *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.194	Maximum Days for Quarter Prorated Food Package – Non-Breastfeeding *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.195	Maximum Days for Half Prorated Food Package – Non-Breastfeeding *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.196	Maximum Days for Three Quarter Prorated Food Package – Non-Breastfeeding *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.197	Maximum Days for Quarter Prorated Food Package – Pregnant *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days

B.198	Maximum Days for Half Prorated Food Package – Pregnant *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.199	Maximum Days for Three Quarter Prorated Food Package – Pregnant *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.200	Maximum Days for Quarter Prorated Food Package – Child *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.201	Maximum Days for Half Quarter Prorated Food Package – Child *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.202	Maximum Days for Three Quarter Prorated Food Package – Child *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.203	Maximum Days for Quarter Prorated Food Package – Infant *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.204	Maximum Days for Half Prorated Food Package – Infant *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days
B.205	Maximum Days for Three Quarter Prorated Food Package – Infant *SPIRIT will not prorate food packages and therefore has selected thirty-two (32) days for all food packages.*	32 days

4.3.3 Maintain Food Instrument Data

For the State of Alaska, the food package is composed of several food instruments, each containing a group of foods. The food instruments contain approximately one week's supply of foods (e.g. two gallons of milk, one pound of cheese, two cans of juice, etc.) To support Alaska's paper-based food instrument issuance and redemption, the system has the ability to construct and record multiple food instrument types and establish a maximum allowed amount for each food instrument type by peer group.

4.3.3.1   Record Food Instrument Types

The system supports the creation of food instruments and the association of food instruments to food packages. (Note that for a cash value voucher benefit the quantity allowed and/or the amount prescribed would be the dollar value of the cash-value voucher.)

Inputs:
- Alaska WIC SPIRIT users setup the food instrument types for each food package in the Reference Utility, Food Item Wizard.

Outputs:
- Alaska WIC SPIRIT system records the information in the appropriate database tables and utilizes the information in benefit issuance *(see section 3.4 Food Benefit Issuance)*.

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4.3.3.2   Establish Food Instrument Maximum Allowed Amounts

Prior to issuance to a participant, Alaska State WIC Program staff assigns a maximum allowed value to each food distribution item. The system uses the price survey data to establish the Not to Exceed (NTE) amount, project expenditures, and as a cost containment tool to prevent a vendor from charging unreasonable prices.

Inputs:
- Alaska WIC SPIRIT users enter or import the price survey for each vendor.
- Alaska WIC SPIRIT users enter the "Percent Over" for each vendor Peer Group.
- Alaska WIC SPIRIT users enter the "Maximum Allowed" amount for each food distribution item in the vendor price survey.

Outputs:
- Alaska WIC SPIRIT system records the information in the appropriate database tables.
- Alaska WIC SPIRIT system generates the Banking Price File which contains the food instruments issued and their associated average and maximum prices for each possible peer group.

4.3.4   Maintain UPC Database and Food Item Maximum Allowed Amounts

The Alaska WIC SPIRIT system has the capability to maintain UPC codes and PLU data. The UPC database can be used to provide UPC and PLU data to the EBT system for use in transaction processing and for download to vendor systems in the future. In the short-term, vendors will provide UPC and PLU data via pricing surveys which will help to build Alaska's UPC database.

The Alaska WIC Program does not currently issue benefits via EBT. However, when it does, the UPC database will be used as part of the redemption process to determine if a food item that a cardholder is attempting to purchase is an approved food item. Information regarding food item maximum allowed amounts (also referred to as maximum pricing) should be linked to each UPC or food item type based on subcategories. Food item maximum allowed amounts should also be established for each food item by peer group.

4.3.4.1   Maintain UPC Database for WIC Authorized Foods

The Alaska WIC SPIRIT system supports the capture and update of UPC data for all foods authorized by the State of Alaska WIC Program. All UPC codes should be tied to a specific category and subcategory codes. Note: Depending on the States' EBT implementation, the UPC and PLU data may be maintained through an entirely different interface provided by the EBT contractor.

Inputs:
- Alaska WIC SPIRIT Vendor Pricing Surveys will update and maintain the UPC data.

Outputs:
- Alaska WIC SPIRIT system records the information in the appropriate database tables.

4.3.4.2 Establish Food Item Maximum Allowed Amounts

For each UPC, a maximum allowed amount shall be assigned. Alternately, the Alaska State agency may choose to set maximum allowed amounts by food subcategory rather than by UPC. (Note: This can also be a function of the EBT system.)

Inputs:
- Alaska WIC SPIRIT system can derive and set the maximum allowed amount based on historical redemption data.

Outputs:
- Alaska WIC SPIRIT system records the information in the appropriate database tables

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4.4   Food Benefit Issuance 🔲 🔄

The Food Benefit Issuance functional area within the Alaska WIC SPIRIT application captures and maintains information about WIC approved foods and food packages. It also involves the issuance of food benefits to WIC participants and reporting participation. The functions deal with preparing and issuing the food benefits, obligating funds, and handling the replacement of benefits. Two options are presented for the issuance of benefits—paper food instruments and EBT. The State of Alaska has not yet implemented EBT functionality so items noted regarding EBT are informational only at this time.

Figure 5- Functional Decomposition: Alaska WIC SPIRIT – Food Benefit Issuance

4.4.1   Issue Paper Food Instruments 🔄

After certification is completed and a food benefit package is prescribed to each participant, the Alaska WIC SPIRIT system prints the food instruments for each participant.

The system processes any damaged/lost/stolen food instruments and supports the replacement of food instruments per Alaska State Policy. In addition, local agencies must safeguard food instruments from fraudulent use. The Alaska WIC SPIRIT system maintains an inventory and provides records to the State Office to reconcile with the State of Alaska WIC food instrument inventory.

Finally, when the person is issued food benefits, they are considered a "participant" for Federal

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reporting purposes. Infants who are exclusively breastfed and have mothers for which food instruments were issued (i.e., infants breastfed by participating breastfeeding women) and a breastfeeding woman who did not receive supplemental foods or food instruments but whose infant received supplemental foods or food instruments are also counted as participants.

4.4.1.1   Prepare Individual Food Instruments

The Alaska WIC SPIRIT system allows the user to find the participant record(s), make any adjustments as needed, and consolidate all household participant benefit issuances for printing together as long as those members have been toggled "on-site" within the application. If the participants are not "on-site", the user will have to print each participant's food instruments individually.

Inputs:
- Alaska WIC SPIRIT users toggle the appropriate household members "on-site"; make adjustments to food benefits as needed; and prepare the food instruments for printing.

Outputs:
- Alaska WIC SPIRIT system updates participants' records as needed and displays the food benefits for printing on the computer screen.

4.4.1.2   Print Food Instruments

The Alaska WIC SPIRIT system utilizes paper food instruments. The system prints food instruments on demand individually or as part of a batch operation (work with on-site group). When benefits are issued (printed) to a participant, the system updates the participation record with the issuance.

Inputs:
- Alaska WIC SPIRIT users queue the food benefits for printing.

Outputs:
- Alaska WIC system prints the food instrument(s).

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
B.70	Require Individual Nutrition Education Contact to Issue Benefits *SPIRIT will not require an individual nutrition education contact in order to issue participant benefits.*	No
B.132	Display Checks Not Eligible Messages Only for Children under 5 *SPIRIT will display these messages for all participants regardless of age.*	No
B.159	Create a General Note for Participants Receiving Checks by Mail *SPIRIT will create a general note automatically in the Participant Folder whenever address labels are generated for the household of the participant(s) who will receive their checks by mail.*	Yes
B.247	Number of Days Added to LDTU to Establish the Expiration Date of an	60 days

	FI *SPIRIT will add sixty (60) days to the LDTU to establish the Expiration Date of an FI.*	
B.293	Number of Vouchers to Be Printed Per Benefits Period *SPIRIT will utilize the check distribution rules to determine the number of vouchers to be printed per benefits period.*	0 – Default to Checks Distribution Rules
B.294	Number of Individual Nutrition Education Contacts Required To Issue Checks to High Risk Participants *SPIRIT will require one (1) individual nutrition education contact to issue benefits.*	1
B.312	Allow the Preview of Check Images from the Banking System *SPIRIT will capture the check preview image and make it available within the system.*	Yes

4.4.1.3   Process Food Instrument Changes

The Alaska WIC SPIRIT system supports the voiding and reissuance of food instruments as allowable by Federal regulation and Alaska State policy. The system automatically adjusts obligations and participation counts as necessary to support the change.

To help facilitate the voiding of a series of food instruments printed in advance with sequential serial numbers (such as when a participant does not pick up any instruments), the system provides a capability for users to void the entire series of instruments with a single entry.

Inputs:
- Alaska WIC SPIRIT users void and if necessary, reissue food instruments.

Outputs:
- Alaska WIC SPIRIT system records the void and reissuance information in the appropriate database tables.
- Alaska WIC SPIRIT system modifies the participation counts as necessary based on the void and reissuance information available.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.162	Indicate Marked Lost/Stolen Checks on the Benefits History Tab *SPIRIT will emphasize checks that have been marked as lost or stolen on the Benefits History tab of the participant folder.*	Yes

4.5 Food Benefit Redemption, Settlement, and Reconciliation

The Food Benefit, Settlement, and Reconciliation functional area covers the redemption of food benefits at the vendor, preparation of vendor payment, and accounting for the disposition of food benefits issued to the participant. It is important to note that the Alaska State WIC Program, a bank, or a processor can perform the processing functions. Therefore, to simplify functional descriptions, the generic term "*processor*" is used to cover all the possibilities with the understanding that *the processor* could be the State agency internal data processing unit, a bank that performs processing functions, or an outside processor.

Within Alaska's paper food instrument system, the redemption, payment, and settlement of food instruments can vary significantly. The State of Alaska uses two redemption systems: 1) "check systems" in which the food instrument is a check with MICR-encoded data for the food instrument serial number and the redemption value. The participant exchanges the check for WIC foods at the vendor, and the vendor submits the check for payment by depositing the check in their bank account. The check is then processed through the commercial banking system. 2) The "voucher system". In a voucher system, the participant exchanges the voucher (e.g., CVV) for WIC foods at the vendor, and the vendor submits the vouchers to the State agency for payment.
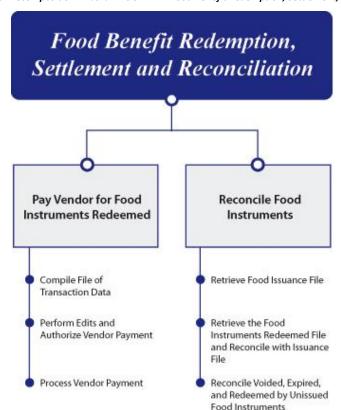
Figure 6- Functional Decomposition: Alaska WIC SPIRIT – Food Benefit Redemption, Settlement, and Reconciliation

4.5.1 Pay Vendor for Food Instruments Redeemed

When a participant completes his/her shopping for WIC foods, he/she presents a food instrument to the cashier in exchange for WIC purchases. The cashier reviews the foods to ensure only approved foods are selected, and reviews the food instrument for compliance with WIC Program requirements. If all is correct, the cashier enters the price on the food instrument and the participant signs the food instrument to complete the sale. WIC food instruments are sent to the processor for payment. In pre-payment edit systems, the food instruments are reviewed prior to payment and in post-payment systems, the food instruments are reviewed after payment.

Following food instrument reviews, funds are transferred to the vendor for properly redeemed food instruments and the vendor is advised of any food instruments that were not paid due to discrepancies. The vendor is given an opportunity to justify payment on the rejected food instruments and to resubmit them for payment.

4.5.1.1   Compile File of Transaction Data

In Alaska's paper environment, the data resident in the system is compiled to assist with the vendor payment process. Issuance data is obtained from the system and includes food instrument serial numbers, issuance dates, maximum values, food instrument active dates (first and last date to use), as well as void information. Redemption data is obtained from the banking contractor. Redemption data includes food instrument serial numbers, redemption dates and amounts, and vendor information.

Inputs:
- Alaska WIC SPIRIT system imports benefit redemption data supplied by the banking contractor.

Outputs:
- Alaska WIC SPIRIT system compiles benefit issuance data for transmission to the banking contractor.

4.5.1.2   Perform Edits and Authorize Vendor Payment

The Alaska WIC SPIRIT system does not provide the capability to manage food instrument edits and the authorization of vendor payment. These activities include food instrument verification and validation as well as the generation of redemption data to update the SPIRIT system. The majority of processes related to this function are performed outside of the system by the banking contractor. However, they are included in the FSRD as a verification requirement.

Inputs:
- Banking contractor reviews, performs edits as required and authorizes the vendor payment.
- Alaska WIC SPIRIT system imports the banking files showing authorized and unauthorized vendor payments and updates the database tables as necessary.

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- Alaska WIC SPIRIT users review unpaid food instruments and make any necessary edits for repayment through the banking contractor.

Outputs:
- Alaska WIC SPIRIT system compiles benefit issuance data, including repayment data for transmission to the banking contractor.
- Alaska WIC SPIRIT system can generate a paid/unpaid report for WIC Program staff review.

4.5.1.3   Process Vendor Payment

The system supports the initiation of vendor payment. The Alaska WIC SPIRIT system does not actually perform the payment processing such as transferring funds to bank accounts or performing automated clearinghouse (ACH) transactions. The majority of processes related to this function are performed outside of the system by the banking contractor. However, they are included in the FSRD as a verification requirement.

Inputs:
- The banking contractor authorizes vendor payment for food instruments that meet State requirements for the processing and payment of food instruments (e.g., has a valid vendor stamp number, does not exceed the maximum amount allowed, etc.)
- The Alaska WIC SPIRIT system processes the vendor transaction file provided by the banking contractor.

Outputs:
- The Alaska WIC SPIRIT system compiles the benefit redemption file.
- The Alaska WIC SPIRIT system can display/print a rejected food instrument report.
- The Alaska WIC SPIRIT system can prepare a notice or letter to the vendor with information regarding the rejected food instruments.
- The Alaska WIC SPIRIT system can display/print a report with the value of food instruments redeemed by issuance month.
- The Alaska WIC SPIRIT system can display/print a report with the value of redemptions per vendor.

4.5.2   Reconcile Food Instruments

The Alaska State WIC Program accounts for the disposition of all food instruments as either issued or voided, and as either redeemed or unredeemed. Redeemed food instruments must be identified as validly issued, lost, stolen, expired, duplicate or not matching valid enrollment and issuance records.

Although participants are encouraged to use all of their food instruments, they sometimes choose not to redeem all or some of the food instruments. Or, if advance printing of food instruments is done, some participants may not claim their food instruments. Similarly, it is possible that the participant redeemed the food instrument, but the vendor did not submit the food instrument for payment in the required timeframe. Also, food instruments are sometimes lost or stolen while in the

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participant's possession requiring State or local agency staff to void the food instrument.

In addition, some food instruments are redeemed, but have no issuance record. The Alaska WIC SPIRIT system reconciles these food instruments to a valid certification and issuance record, or investigates for possible fraudulent use.

The system automatically voids food instruments that are expired for participant or vendor redemption.

The system also captures and maintains data about the manual voiding of food instruments. Food instruments are often voided because the food instruments were damaged or misprinted. The system captures and maintains this void data for food instruments printed on demand, and food instruments printed in advance in the benefit issuance function.

To help facilitate the voiding of a series of food instruments with sequential serial numbers (such as when a participant does not transact any food instruments); the system provides a capability for users to void the entire series of instruments with a single entry.

4.5.2.1   Retrieve Food Issuance File

The system initiates the reconciliation process by retrieving the file of food instruments issued for an issuance month.

Inputs:
- Alaska WIC SPIRIT system compiles food instrument data.

Outputs:
- Alaska WIC SPIRIT system produces a food instrument issuance file by month of issue.

4.5.2.2   Retrieve the Food Instruments Redeemed File and Reconcile with Issuance File

The Alaska WIC SPIRIT system retrieves the Food Instruments Redeemed File compiled for food instruments paid and food instruments rejected when preparing vendor payments. This provides a list of redeemed food instruments by serial number and redemption value. The system completes a one-to-one reconciliation match of the food instrument serial numbers in the issuance file with the serial numbers in the redemption file. All food instruments issued and redeemed must be matched with a valid participant record. For all food instruments that are validly redeemed, the system captures and maintains both the obligation amount (estimated redemption value) and the outlay (actual redemption value) amount.

Inputs:
- Alaska WIC SPIRIT system reads and compares the food instrument issuance and redeemed files.

Outputs:

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- Alaska WIC SPIRIT system updates food instrument obligations and associated database tables.

BR ID	Title	Value(s) Chosen
**Applicable Business Rule (BR) Modifications**	
B.214	Day of the Month by Which the Over 50% Vendor Prices Must Be Calculated *SPIRIT will calculate Over 50% Vendor pricing on the 20th of each month as part of the EOD process.*	20th
B.283	Use Cost Containment of Over 50% Vendors *SPIRIT will not utilize Cost Containment of Over 50% Vendors.*	No
B.287	Minimum Number of Food Instruments Redeemed Over Peer Group Average per Vendor *SPIRIT will include vendors that have at least five (5) high cost food instruments in the High Cost Food Instrument Report (VND041).*	5
B.288	Food Instrument Cost Over Peer Group Average Percent Difference Allowed *SPIRIT will include Vendors on the High Cost Food Instrument report if a food instrument exceeds twenty percent (20%) of the peer group average.*	20%
B.289	Average Price for Food Instrument Type Percent Difference Allowed *SPIRIT will include Vendors on the High Cost Vendor Summary by Vendor and High Cost Vendor Summary by Food Instrument Type reports if their average food instrument price exceeds twenty-five percent (25%) of their peer group average.*	25%
B.290	Minimum Number of Food Instruments Redeemed Average per Vendor *SPIRIT will require at least five (5) high cost food instruments from a Vendor before including the Vendor on the High Cost Vendor Summary reports.*	5
B.291	Minimum Number of Food Instruments Redeemed per Vendor *SPIRIT will require ninety-nine (99) FI's redeemed outside of the area in order to be included in the Large Number of FI Redeemed Outside of Area report.*	99

4.5.2.3 Reconcile Voided, Expired, and Redeemed but Unissued Food Instruments

In addition to reconciling used and issued food instruments, the system is able to reconcile voided, expired, and redeemed but unissued food instruments.

Inputs:
- Alaska WIC SPIRIT system reconciles voided, expired, redeemed but unissued food instruments.

Outputs:
- Alaska WIC SPIRIT system prepares a redeemed but unissued food instrument exception report by local agency; a report of total food redemption value; and a report of updated food instrument void reason and date.

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Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.235	Run Reapply Bank Exceptions Process *SPIRIT will run the Reapply Bank Exceptions Process as part of the EOD process.*	Yes
B.246	Number of Days for a Food Instrument Exception *SPIRIT will allow ninety (90) days before applying a Food Instrument Exception.*	90 days

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4.6   Financial Management

The Financial Management functional area provides the State of Alaska WIC Program with a tool for managing food and nutrition services and administration (NSA) grants and expenditures. It allows the State agency to manage budget information, track expenditures, calculate rebates due from manufacturers on approved products (e.g., infant formula), monitor actual cash flows, and prepare participation and expenditure reports for FNS from data compiled under several other functions. These data also allow WIC Program managers to perform more sophisticated analyses of projected WIC Program funds usage.

In Alaska, financial management is currently maintained as part of a separate, statewide IS in combination with manual spreadsheets and other data capturing mechanisms. Data captured through the Alaska WIC SPIRIT system may be extracted and exported into a PC-based spreadsheet application, if desired. The functionality described below for obtaining data required for financial management analysis may occur in the SPIRIT application or an alternative system as determined by State of Alaska stakeholders.
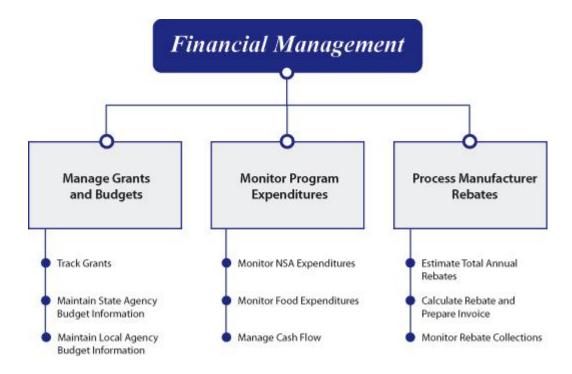
Figure 7- Functional Decomposition: Alaska WIC SPIRIT – Financial Management

4.6.1 Manage Grants and Budgets*

Alaska receives separate Federal grants for food and NSA expenditures each year. Food grants are used to purchase supplemental foods and may be used to rent or purchase breast pumps. The method used to deliver supplemental foods to WIC participants (i.e., retail purchase or mail order vendor (MOV) delivery) determines the cost components of food costs. The cost of supplemental foods in both the retail food delivery system and mail order benefit delivery system is the total amount paid to authorized vendors for food instruments transacted by program participants for authorized supplemental foods. NSA funds are used for program management, client services, nutrition education, and breastfeeding promotion and support. The amounts of the food and NSA grants are determined by FNS through funding formulas prescribed by Federal regulation. Funds are allocated at the beginning of each fiscal year. Throughout the year, FNS recovers and reallocates unspent funds, so the State agency's food and NSA grants may increase or decrease during the course of a fiscal year. Finally, the State agency also receive program income from a variety of sources, including grants from food manufactures, interest on rebate funds, and civil money penalties collected from vendors.

The Alaska State agency needs information on Federal and State funds allocated to the WIC Program to determine the funds available to support the maximum State agency caseload and allocate local agency caseload and NSA budgets. The system also enables the State to retrieve budget data to automatically track actual WIC expenditures against budgeted amounts at a more detailed level.

4.6.1.1 Track Grants

The system records the food, NSA and any other grants awarded by FNS to the State of Alaska. The grant amounts may change over the course of the year, due to reallocations, the funding rules, and other grant adjustments; therefore the system updates grants and budget estimates and uses the new information to recalculate and reallocate caseload levels at the State level and across local agencies. The system maintains a current balance of funding levels in all grant categories throughout the year to be used for the food budget, the State and local agency, NSA and other budgets.

Inputs:
- Alaska WIC SPIRIT users provide the actual grant funding information; estimated rebates; breast pump equipment costs; Medicaid reimbursements; collections; other credits and funding sources.

Outputs:
- Alaska WIC SPIRIT system prepares an on-demand grant status report.

4.6.1.2 Maintain State Agency Budget Information

The system provides the ability to retrieve State agency grant and budget data and retrieve local

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* Not a required function per the June, 2008 *Alaska WIC Information System Feasibility Study.*

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agency budget detail. Since funding for the WIC Program may change during the course of the year, the system allows users to update grant data and budget estimate data at any time. The system generates a copy of the NSA budget upon request.

Inputs:
- Alaska WIC SPIRIT users provide grant and NSA grant information.

Outputs:
- Alaska WIC SPIRIT system can display a report of State Budget for Food and NSA.
- Alaska WIC SPIRIT system can display a report of Food and NSA Grants Status.

4.6.1.3 Maintain Local Agency Budget Information

For NSA funds, Alaska must allocate NSA budgets to local agencies each year. The system must capture WIC NSA budget data for individual local agencies in order to track expenditures against the budget. Once approved, the system can generate a copy of the local agency NSA budget to local agencies.

Inputs:
- Alaska WIC SPIRIT system utilizes the local agency NSA budget information.

Outputs:
- Alaska WIC SPIRIT system compiles a report of Local Agency Budgets by Budget Category.

4.6.2 Monitor Program Expenditures

The State of Alaska monitors food and NSA expenditures to compare actual costs to budgets and submit required reports to FNS. The rate of expenditure of program funds is of particular concern to program managers who must react to this information and adjust caseload allocations accordingly. It is important for the Alaska State office to continuously monitor expenditures and cash flow so that they do not place their financial commitments to participants, vendors, and creditors in jeopardy.

Advance warning of surpluses or shortages is critical to minimizing potential disruption of the overall WIC Program operations. The receipt of rebates presents a unique challenge in managing expenditures and cash flow. The State agency must pay vendors for the full "pre-rebate" purchase value for food instruments with the rebated item (e.g., infant formula). The State agency recoups the rebate once the infant formula manufacturer is billed and payment is made. Thus, the State agency often needs more funds at the beginning of the year to compensate for the lag time in receiving infant formula rebate payments. To cover these additional costs early in the year, FNS issues 1/3rd of the total annual Federal grant in the first quarter, 1/4th in the second and third quarters, and the remaining 1/6th in the final quarter.

A major task under the Financial Management function is to provide FNS with the WIC Financial Management and Participation Report (FNS-798). FNS requires this report from the State agency on a monthly basis and for fiscal year closeout. For closeout, the State agency must report its spending

option elections (spendforward/backspend) and also provide a report on categories of NSA expenditures. The data needed for the FNS-798 involves the food and NSA grants, food budget obligation, and food and NSA expenditures. In essence, the data that FNS requires is the same data the State agency needs to manage its funds throughout the year. The FNS-798 report provides FNS with the data needed to calculate unspent funds for reallocation to the State agency and prepare infant formula allocations. FNS needs this data to be on time and accurate to assure that the State agency receives funding as quickly as possible; otherwise, funding for all State agencies is compromised.

4.6.2.1   Monitor NSA Expenditures*

The system tracks State and local agency NSA expenditures against the amounts budgeted. If NSA expenditures are kept on a separate State accounting system, the system should interface with the State's accounting system for the transfer of actual NSA expenses.

The system should maintain data for Federal reporting purposes on total NSA expenditures per month and any non-liquidated obligations that the State agency expects to spend on capital assets or procurements that have not yet been paid. NSA expenditures and non-liquidated obligations and will include any breast pumps in the NSA budget ordered or purchased with NSA funds.

Inputs:
- Alaska WIC SPIRIT system utilizes the NSA budget and expenditure information.

Outputs:
- Alaska WIC SPIRIT system calculates and compares expenditures against actual.
- Alaska WIC SPIRIT system generates a report showing NSA Expenditures Compared to Budget and a separate report showing NSA Expenditures to-date.

4.6.2.2   Monitor Food Expenditures

For Alaska's paper food instrument system, the Alaska WIC SPIRIT system totals the food instrument redemption value of all food instruments redeemed in order to track expenditures. As food instruments issued must be matched against food instruments redeemed, the system should perform reconciliation before the obligations are updated and outlays are recorded.

The system also subtracts all rebate estimates and amounts billed and collected and vendor collections, participant collections, program income collected, and other credits used to fund food costs from the obligations and outlays. All of the data are used to report to FNS on the FNS-798. Food expenditures and unliquidated food obligations may also include breast pumps ordered or purchased with food funds.

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* Not a required function per the June, 2008 *Alaska WIC Information System Feasibility Study*.

For systems issuing benefits via EBT, *the EBT system* maintains an ongoing balance of obligations (issued, unexpended benefits) and outlays (benefit redemptions) as it is updated each time a transaction occurs. Data regarding benefit balances, redemptions, voids, adjustments, and expirations are maintained in *the EBT system* and reported back to the State agency through daily transaction history data as well as daily and monthly reports.

Inputs:
- Alaska WIC SPIRIT system reads obligation and redemption (or outlay) information.

Outputs:
- Alaska WIC SPIRIT system generates two reports. 1) Federal Food Obligations and Outlays. 2) Federal Food Obligations and Outlays compared to the budget.

4.6.2.3 Manage Cash Flow[*]

The system should enable the State agency to view the effect of actual NSA and food expenditures on the agency's cash position at any given time. This function is intended to provide the State agency with information on cash flows and balances. The system should record all cash inflows (grants, rebates, recoveries, etc.) as well as cash outflows (food vendor payments, NSA payments for costs, etc.). The State agency must anticipate cash needs to ensure proper cash draws are made against the Federal grant. If the State draws too much cash, it may be liable for interest costs to the Federal government, as required under the Cash Management Improvement Act (CMIA). When the fiscal year financial activity is closed out and reconciled, cash drawn from the Federal WIC grants must reconcile to the State agency's reported expenditures.

Inputs:
- Alaska WIC SPIRIT system utilizes cash flow information.

Outputs:
- Alaska WIC SPIRIT system generates a report of Cash Flows.

4.6.3 Process Manufacturer Rebates

As part of cost containment measures, the State of Alaska contracts with manufacturers to obtain rebates in return for the State's exclusive use of the manufacturer's product in the WIC Program (e.g., infant formula). Manufacturers agree to rebate a specific dollar amount per unit purchased through the WIC Program.

Rebates are important because they can significantly reduce the food package cost and allow more participants to be served with Federal grant funds. However, rebates do require a considerable amount of planning and monitoring to ensure integrity in the invoicing and collection process.

For paper food instrument systems, one of the difficulties in assessing infant formula rebates is that State agency systems do not have access to the exact type and quantity of infant formula actually purchased by the participant because participants do not always purchase the entire quantity of units

indicated on the food instrument and this information is not collected at the point of sale. Therefore, the system needs to adjust the number of units prescribed on food instruments based on the actual redeemed value of the infant formula food instruments when preparing infant formula rebate invoices.

In the EBT environment, the exact type and quantity of infant formula will be available to the State agency which will assist in estimating and projecting rebates and the availability of funds.

4.6.3.1   Estimate Total Annual Rebates*

The system should support this function by allowing State agencies to maintain data on rebate manufacturers and to prepare an estimate of the rebate amount expected for each month of the coming year. This provides a rebate estimate for Federal reporting and expenditure management. This is especially important if the State agency expects a change in its rebates during the year. The data are also useful for preparing and evaluating rebate proposals.

To accurately assess the rebates for infant formula, the system must decrease the expected number of infants by the number of those infants that will receive non-contract infant formula or are exclusively breastfed.

Inputs:
- Alaska WIC SPIRIT system calculates estimated rebates based on infant participation and expected units purchased.

Outputs:
- Alaska WIC SPIRIT system generates a report on Projected Total Rebate for each Formula Type and Form.

4.6.3.2   Calculate Rebate and Prepare Invoice

The Alaska WIC SPIRIT system uses redemption data to determine the number of units of a rebated item redeemed and multiply the number of units by the rebate amount. The system uses this information, as well as issue date information, to generate an itemized invoice that provides supporting detail on the rebate calculations. Once reviewed by the State Office, the invoice is sent to the manufacturer for payment.

When the State of Alaska implements EBT functionality redemption data and the resulting rebate calculations will be more exact as the EBT system will record the actual quantities of infant formula purchased.

Inputs:

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* Not a required function per the June, 2008 *Alaska WIC Information System Feasibility Study.*

- Alaska WIC SPIRIT system utilizes redemption data and rebate amounts to generate an itemized invoice.

Outputs:
- Alaska WIC SPIRIT system generates an itemized invoice.

4.6.3.3   Monitor Rebate Collections*

The Alaska WIC SPIRIT system will track the invoicing and collection of manufacturer rebates. The system will record the actual invoice dates and amounts when they are generated by the system. The system will accommodate increases or decreases to the original rebate invoice amount that might arise due to subsequent adjustments.

Inputs:
- Alaska WIC SPIRIT users provide the rebate payment amounts received.
- Alaska WIC SPIRIT users enter any adjustments made and the reason for the update.

Outputs:
- Alaska WIC SPIRIT system generates a report of Rebate Status.

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* Not a required function per the June, 2008 *Alaska WIC Information System Feasibility Study.*

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4.7 Caseload Management

The Caseload Management functional area is intended to support the tracking and analysis of caseload allocations and actual participation in the WIC Program. It collects and stores information on caseload allocations to local agencies, monitors actual participation against assigned caseloads, and conducts caseload reallocations.

Please note that the ability to Determine Maximum Caseload and Conduct Caseload Reallocation as identified in the FReD as a tertiary requirement are not available functions in the Alaska WIC SPIRIT system. Therefore, they are not included in this document.
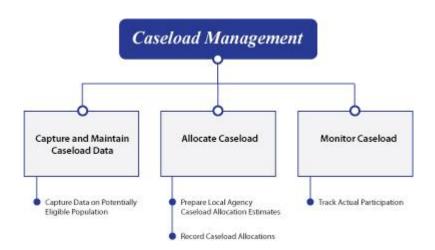
Figure 8- Functional Decomposition: Alaska WIC SPIRIT – Caseload Management

4.7.1 Capture and Maintain Caseload Data

In order to perform caseload allocations, the State agency needs State and local agency data on the potentially eligible population and historical participation. Under this function, the State agency determines the total number of caseload slots it can allocate to local agencies based on projected participation and expenditure data.

In the State of Alaska, caseload allocation and assignment is maintained as part of the Alaska WIC SPIRIT system.

4.7.1.1 Capture Data on Potentially Eligible Population[*]

The Alaska WIC SPIRIT system captures data on the potentially eligible WIC population.

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[*] Not a required function per the June, 2008 *Alaska WIC Information System Feasibility Study.*

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Inputs:
- Alaska WIC SPIRIT users provide data from external agencies for potentially eligible populations.

Outputs:
- Alaska WIC SPIRIT system generates a report of potentially eligible population data.

4.7.1.2   Capture Historical Participation Data

The Alaska WIC SPIRIT system captures historical caseload information for use in making caseload allocations/projections.

Inputs:
- Alaska WIC SPIRIT system utilizes information historically provided by users.

Outputs:
- Alaska WIC SPIRIT system generates a local agency historical participation profile.

4.7.2   Allocate Caseload

The State agency must now assign the caseload levels based on greatest population need and the extent to which the local agency has reached the potential eligible population in its service area. The State agency may also want to consider the ability of the local agency to serve a particular caseload level given its current or anticipated staffing level and clinic capacity. Additionally, the State agency must ensure that enough caseload is allocated to expend at least 97 percent of its food funds without overspending its food grant.

During the year, the State agency may need to recalculate its caseload allocations and increase or decrease the caseload assignments of its local agencies in response to a variety of circumstances, such as unexpected increases in food costs or receipt of additional Federal food funds through periodic reallocations. The Alaska WIC SPIRIT system will alert the State agency if it appears that significant underspending or overspending may occur, so the State agency may take appropriate actions to address the situation.

4.7.2.1   Prepare Local Agency Caseload Allocation Estimates

The Alaska WIC SPIRIT system records local agency caseload allocations based on formula factors determined by the State agency offline. The system records allocations and caseload assignments to local agencies (based on the business rule selection).

Since Federal grant reallocations can occur at any time during the year, the system permits updating of data for calculating caseload allocations upon request. The system also has the flexibility to make adjustments that are required because of differences between the State and Federal fiscal years. The total sum of all local agency caseload allocations should not exceed the maximum caseload allocation for the State.

Inputs:

- Alaska WIC SPIRIT system utilizes data retrieved from supplied caseload database tables.
- Alaska WIC SPIRIT users assign caseload to local agencies based on the States' allocation formula.

Outputs:

- Alaska WIC SPIRIT system assigns caseload to local agencies.

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
C.14	State Office – Full Caseload Functionality *SPIRIT will include all of the Caseload functions (e.g. Estimated Caseload, County Caseload, Assigned Caseload, and Calculate Estimated Eligible Caseload) in the WIC State Office module.*	Yes
B.207	Enable Assigned Caseload by Service Site instead of by Agency *Caseload is managed and processed by local agency (instead of clinic/service site).*	No

4.7.2.2 Record Caseload Allocations

After receiving State agency approval, the system should store the caseload allocation data manually entered by the State agency. This information will be used for notifying the local agencies of their individual allocations and tracking assigned caseload against actual participation.

Inputs:

- Alaska WIC SPIRIT user's record State agency approved caseload allocation data in the system.

Outputs:

- Alaska WIC SPIRIT system generates a report of caseload by local agency.

4.7.3 Monitor Caseload

After the caseload has been allocated, it is important to track actual participation levels against the assigned caseload levels so that the State or local agency can make adjustments in response to various changes or trends observed over the course of the year. The need for adjustments to assigned caseload levels may be due to local agency performance or to external trends that influence State expenditure patterns.

4.7.3.1 Track Actual Participation

The Alaska WIC SPIRIT system retrieves assigned caseload data and compares it to actual participation data on a month-by-month and annual basis, in accordance with regulations.

Inputs:

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- Alaska WIC SPIRIT system utilizes caseload, food instrument and certification information.

Outputs:
- Alaska WIC SPIRIT system generates a report on local agency caseload utilization.

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4.8 Operations Management

The Operations Management functional area is intended to provide general support to WIC local agencies and clinics for a variety of activities and provides program management support for the State agency. It automates administrative tasks and reports such as inventory control for serialized items. It captures contact information and statistics for local agencies and clinics for use in conducting outreach activities. It also provides customer service support and tracks WIC participant satisfaction with program services. Finally, it provides data to help the State assess participant and local agency integrity.
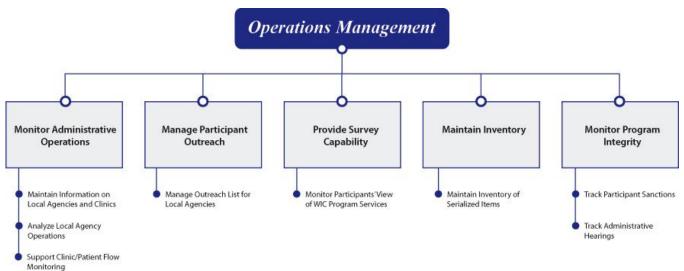
Figure 9- Functional Decomposition: Alaska WIC SPIRIT – Operations Management

4.8.1 Monitor Administrative Operations

Periodically, the State agency assesses the flow of operations at local agencies and clinics. The system provides information to help administrators assess operations. This information includes the total number of education classes given, number of participants certified, and the number of benefits issued during each month. The State and local agency can compare this data to statistical information such as staffing levels and positions, participant-to-staff ratios, nutritionist-to-staff ratios, participants per square foot of space, and cost per participant figures. This information is helpful for improving participant service and clinic flow, and making funds allocation decisions based on local agency infrastructure and capability.

4.8.1.1   Maintain Information on Local Agencies and Clinics

The system maintains basic data on each local agency and their associated clinics.

Inputs:
- Alaska WIC SPIRIT users provide local agency and clinic information such as identification number, name, address, contact information and fair hearing representative.

Outputs:
- Alaska WIC SPIRIT system records local agency and clinic profile data.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.1	State Office Agency ID *SPIRIT will utilize "00" for the State WIC Office Agency ID.*	"00"
B.186	Agency Number Field Length *SPIRIT will utilize four (4) digits for the Agency number.*	4 digits
B.269	State Office Clinic ID *SPIRIT will utilize "01" for the State Office Clinic ID.*	"01"
B.303	Community Health Board (CHB) Organizational Structure *SPIRIT will include the CHB organizational structure which is essentially the Grantee to Clinic organizational structure.*	Yes
B.304	Store the Grantee Name *SPIRIT will store the grantee name.*	Yes
X.8	Service Site Field Length *SPIRIT will utilize four (4) digits for the clinic number.*	4 digits

4.8.1.2   Analyze Local Agency Operations

The Alaska WIC SPIRIT system supports the analysis of each local agency/clinic for factors such as the participants served, appointment characteristics (e.g., no show rates and trends), and number of staff by type (e.g., certifying staff, clerks, nutritionists, other, bilingual).

Inputs:
- Alaska WIC SPIRIT system utilizes local agency/clinic profile, participant, and user data.

Outputs:
- Alaska WIC SPIRIT generates reports such as participants served, no-show rates, and staff composition.

4.8.1.3   Support Clinic/Patient Flow Monitoring

The system supports the collection and analysis of patient and clinic flow data.

Inputs:
- Not Applicable.

Outputs:
- Alaska WIC SPIRIT system generates various reports which assist clinic, local agency, and state staff in monitoring clinic operations.

4.8.2   Manage Participant Outreach

The State agency may ask local agencies to increase their caseloads to take advantage of an increased budget or to reach a particular type of participant group (such as migrants or pregnant women). Therefore, the Alaska WIC SPIRIT system maintains contact lists of organizations and individuals such as church groups or physicians that are in regular contact with families that may qualify for the WIC Program, as well as for health or social service organizations that serve individuals who might be WIC candidates.

As a part of ongoing operations, aggregate referrals to other health and social services organizations can be tracked. Since a part of WIC's mission is to increase participant access to health care and other services, it is important to have access to data on referral activity.

4.8.2.1   Manage Outreach List for Local Agencies

The Alaska WIC SPIRIT system supports this function by allowing the State agency or local agency to enter and update the information for organizations that may serve potential WIC participants.

Inputs:
- Alaska WIC SPIRIT users provide program and contact information for outreach programs.

Outputs:
- Alaska WIC SPIRIT system can generate a report containing a list of outreach organizations.

4.8.3   Provide Survey Capability

The State of Alaska may wish to provide the capability to conduct surveys and track survey responses for various aspects of the WIC Program. The Alaska WIC SPIRIT system supports fully automated collection of survey data (i.e., provide a survey form online for participants to complete). The system

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captures the results for each survey participant and generates a summary assessment.

4.8.3.1   Monitor Participants' View of WIC Program Services

The system collects and summarizes data related to local and statewide surveys.

Inputs:
- Alaska WIC SPIRIT users provide the questions and answer sets for the survey.

Outputs:
- Alaska WIC SPIRIT system generates a summary assessment of participant responses.

4.8.4   Maintain Inventory

The State agency maintains an inventory of many types of items needed for administration of the WIC Program. Some items, such as food instruments (checks, vouchers, coupons and EBT cards), are negotiable instruments that need to be safeguarded from misuse. Other items are capital assets, such as computer equipment and breast pumps. All of these items should have serial numbers to track their use and disposition.

Please note that the State of Alaska does not intend to "Maintain the Inventory of Non-Serialized Items". This information can be found in the FReD however, it is excluded from this document.

4.8.4.1   Maintain Inventory of Serialized Items

The Alaska WIC SPIRIT system tracks serialized items. The system tracks items at all levels (received at the State, shipped to local agencies, and received at local agencies), as well as items that are returned or no longer usable (e.g., broken, lost).

Inputs:
- Alaska WIC SPIRIT users enter the serialized items to be tracked and their current disposition.

Outputs:
- Alaska WIC SPIRIT system records the disposition of serialized items.

4.8.5   Monitor Program Integrity

The Alaska WIC SPIRIT system does not specifically provide functionality that assists the State and local agency in monitoring program integrity. However, for participant integrity, Alaska WIC SPIRIT tracks eligibility information supplied by the participant over time. This information can be used to monitor household size, income, etc. It also reviews for dual participation.

For clinic integrity, data related to suspicious patterns should be reviewed. The most likely fraudulent activity is creating fictitious records to obtain benefits or applying lenient eligibility determinations for friends and relatives. Special attention should be paid to local agencies or clinics where limited separations of duties, which make fraudulent behavior easier to perform, exist.

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4.8.5.1   Track Participant Sanctions

The system does not specifically track participant sanctions. However, the State of Alaska will utilize the "Notes" functionality in SPIRIT to track events, letters, and information related to participant sanctions. In addition, the termination date and reason will be used to track fraud or abuse.

Inputs:
- Alaska WIC SPIRIT users provide a termination date and the appropriate reason (e.g. Fraud or Abuse).
- Alaska WIC SPIRIT users create a note on the participant record with additional information where applicable.

Outputs:
- Alaska WIC SPIRIT system can generate a report which details participants terminated for specific reasons.
- Alaska WIC SPIRIT system records notes on the participant's record, if applicable.

4.8.5.2   Track Administrative Hearings

The Alaska WIC SPIRIT system does not specifically track administrative hearings for participants. The State of Alaska will instead create a "Note" on the participant record to log letters sent, other communications (e.g. phone, email), and the dates of administrative hearings and their outcomes to maintain a history of each program integrity case and its eventual outcome.

Inputs:
- Alaska WIC SPIRIT users create a note on the participant record with the appropriate information.

Outputs:
- Alaska WIC SPIRIT system records notes on the participants' record.

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4.9   Vendor Management

The Vendor Management functional area is intended to support the management of the retail vendor aspect of the WIC Program. It tracks the vendor authorization process; captures information about authorized vendors; captures vendor pricing information and supports cost containment, monitors vendor training and communications, helps identify potentially abusive vendor practices for which additional monitoring or investigation is needed; supports record audits; maintains a comprehensive vendor profile, including information about compliance activities, and supports coordination of sanctions with the Food Stamp Program (FSP). In addition, the data collected under this function supports the annual electronic transmission to FNS of The Integrity Profile (TIP) Report.

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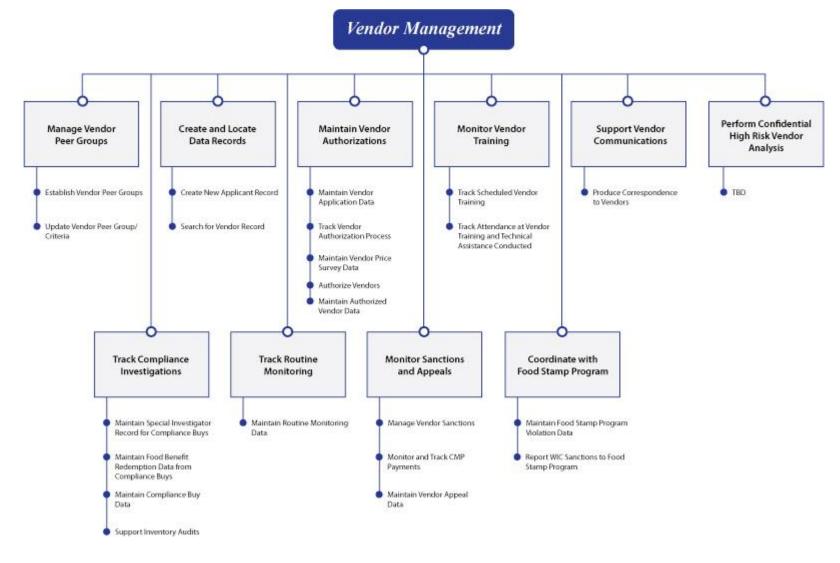
Figure 10- Functional Decomposition: Alaska WIC SPIRIT – Vendor Management

4.9.1 Manage Vendor Peer Groups

In support of cost containment, the State agency is able to classify vendors into peer groups – groups of vendors with similar characteristics as defined by the State agency – unless FNS has granted an exemption to the State agency from the peer group requirement. The goal is to group vendors who should be charging comparable prices for WIC foods. The State agency uses two or more criteria, with one being geographic location (e.g., urban or rural), to establish peer groups. (FNS may also grant an exemption from the geographic peer group criterion.) Other examples of characteristics used to group vendors include WIC sales volume, store type, or number of cash registers. Peer groups are the basis for calculating food instrument or food item maximum allowed amounts.

Another area of consideration in peer grouping is cost neutrality for those vendors whose WIC sales are more than 50 percent of their total food sales (A50 vendors). Please refer to the guidance that has been developed by FNS providing options for assigning A50 vendors to peer groups.

4.9.1.1 Establish Vendor Peer Groups

The system shall support the establishment of vendor peer groups to be used in categorizing vendors based on specific criteria.

Inputs:
- Alaska WIC SPIRIT users create vendor peer groups with the required data (e.g. number of registers, type of vendor, Over 50% Indicator (A50), type of ownership).

Outputs:
- Alaska WIC SPIRIT system records the vendor peer groups and information in the appropriate system tables.

4.9.1.2 Update Vendor Peer Group/Criteria

Once established, peer groups may remain stable; however there may be changes which occur in the State agency that require an update to the peer groups. Refer to FNS policy regarding the required frequency for reassessing established peer groups.

The Alaska WIC SPIRIT system supports the addition or deletion of peer groups.

Inputs:
- Alaska WIC SPIRIT users add, modify, and/or delete vendor peer groups.

Outputs:
- Alaska WIC SPIRIT system lists the vendor peer groups.
- Alaska WIC SPIRIT system updates the vendor peer group information in the appropriate system tables.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.85	Enable Mass Peer Group Recalculations *SPIRIT will not enable mass peer group recalculations.*	No

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4.9.2 Create and Locate Data Records

When a vendor applies for authorization that is not already in the system, a user must create a new data record to capture and maintain information. Each record has a unique identification number. This identification number is used to identify the vendor when its records are needed. After a record is created or to determine if a data record exists in the system, staff members have to have the ability to locate the record for viewing or data entry.

4.9.2.1   Create New Applicant Record

The Alaska WIC SPIRIT system supports the creation of new records into which data will be entered. When creating new records, the system assigns a unique identifier (identification number) to each record.

Inputs:
- Alaska WIC SPIRIT users create a new vendor record with the appropriate vendor information.

Outputs:
- Alaska WIC SPIRIT system records the vendor information in the appropriate system tables.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.109	Vendor ID – Numeric Only *SPIRIT will utilize numeric only Vendor IDs.*	Yes
B.110	Vendor ID – State Assigned *SPIRIT will allow Vendor Management staff to change the SPIRIT generated Vendor ID, if desired.*	Yes
B.111	Vendor ID Length *SPIRIT will utilize four (4) digits for the Vendor ID.*	4 digits

4.9.2.2   Search for Vendor Record

The Alaska WIC SPIRIT system has the capability to search for records using predefined criteria.

Inputs:
- Alaska WIC SPIRIT users enter the minimum required search data to search for vendor records.

Outputs:
- Alaska WIC SPIRIT system displays vendor records based on the search criteria entered.
- Alaska WIC SPIRIT system displays the vendor attendance and training topics covered, in addition to other information regarding the training activities.

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4.9.3   Maintain Vendor Authorizations

The State of Alaska State Office selects and uses authorized vendors to provide WIC approved foods to participants in both retail-based and mail order vendor (MOV) food delivery systems. Authorized vendors provide supplemental foods to WIC participants and are reimbursed with WIC funds. Vendors must apply to become authorized WIC vendors and periodically must reapply to maintain WIC authorization. The State agency may authorize individual vendors on a continuing basis or may authorize all vendors at the same time according to a designated schedule. Each outlet of a chain is a separate vendor.

The State WIC agency may limit their authorized vendors to a number that ensures adequate participant access and that they can effectively manage. They determine which vendors to authorize based on whether vendors meet or exceed the State agency's selection criteria. The State agency must use the mandatory selection criteria stated in the Federal regulations. The State agency considers several factors in determining whether to authorize a vendor such as the varieties and quantities of WIC-approved foods an applicant vendor stocks, prices of WIC authorized foods, prior WIC and Food Stamp Program compliance history, FSP identification number, and the vendor's business integrity. The State agency may deny a vendor authorization, and the vendor may appeal such denials.

The system captures information on vendors applying for WIC authorization, including: information submitted on the WIC vendor application, historical data regarding the vendor's prior WIC authorization, and information collected during preauthorization or other monitoring visits, as applicable. This information includes basic reference data about the vendor, as well as food price data that are used by this and other functional areas within the system. Additionally, the system supports assignment of the vendor to a peer group based on established criteria. The Alaska WIC SPIRIT system also tracks the progress of the vendor authorization process for individual vendors.

4.9.3.1   Maintain Vendor Application Data

The Alaska WIC SPIRIT system captures and maintains data about the vendors that apply for WIC authorization. These data include reference data such as the vendor's name, location, ownership, business volume and, if applicable, FSP identification number.

To assist in vendor authorization determinations, the system provides a history of vendor compliance, including any warnings or sanctions imposed against a particular vendor and its outlets and a history of a vendor's participation in required training. The data regarding vendors' prior WIC compliance and onsite monitoring visits are captured and maintained by other functions within the Vendor Management functional area.

The system provides information that will help the State agency determine the appropriate number of WIC vendors to authorize in specific locations, and provide vendor characteristics to help determine the best vendors to authorize.

Inputs:
- Alaska WIC SPIRIT users provide vendor information such as address, contact, owner information, sales, and number of cash registers.

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Outputs:
- Alaska WIC SPIRIT system creates/modifies the vendor record information.

4.9.3.2   Track Vendor Authorization Process

The State of Alaska uses the system to provide a simple tracking capability of the vendor authorization process. This includes issuing requests for applications, assessing all applications for completeness and obtaining any missing information, and conducting on-site visits to assess whether the vendor meets WIC requirements.

Inputs:
- Alaska WIC SPIRIT users update the system as the vendor moves through the various authorization phases.

Outputs:
- Alaska WIC SPIRIT system updates vendor authorization activities scheduled and completed.

4.9.3.3   Maintain Vendor Price Survey Data

The Alaska WIC SPIRIT system supports the entry and maintenance of data on vendor reported prices for WIC-authorized foods. These data are captured during the vendor application process to compare the vendor's prices to other vendors seeking authorization. Once authorized, a vendor must update its prices by submitting revised price lists in accordance with the State agency requirements. These updates vary from monthly submissions to a single submission covering the entire authorization period. In an EBT environment, it is possible to have automatic, continuous food price updates based on ongoing transaction data that contains the shelf price for each UPC purchased.

As part of the vendor authorization, vendor price survey information is collected. The system supports the entry, maintenance, and ongoing updates of vendor shelf prices.

Inputs:
- Alaska WIC SPIRIT users import the vendor price survey data.

Outputs:
- Alaska WIC SPIRIT system updates the price survey information and generates reports for the State agency.

Applicable Business Rule (BR) Modifications		
BR ID	*Title*	*Value(s) Chosen*
B.261	Enable Vendor Price Survey by UPC Item *SPIRIT will collect Price Survey information by UPC item.*	Yes

4.9.3.4   Authorize Vendors

Once the State agency has assembled all vendor application data, it must evaluate the information to determine which vendors' best meet the State agency's needs. The system

supports the selection process and authorization or denial of vendor applicants.

Inputs:
- Alaska WIC SPIRIT users evaluate the information contained within the system.
- Alaska WIC SPIRIT users authorize or deny the vendor application.

Outputs:
- Alaska WIC SPIRIT system records the authorization or denial and prepares a letter for printing.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.105	Vendor Stamp – More than One Stamp Number *SPIRIT will only allow one (1) stamp number to be assigned to a vendor.*	No
B.107	Vendor Stamp Number Length *SPIRIT will generate a 4 digit Vendor Stamp Number which the State can modify prior to saving the vendor record.*	4 digits
B.108	Vendor Stamp Number – Numeric Only *SPIRIT will generate a numeric Vendor Stamp Number.*	Yes
B.121	Reinstate Vendor Stamp *SPIRIT will allow the user to reinstate the Vendor stamp at the time of adding the Reinstate follow-up activity for a Vendor.*	Yes

4.9.3.5   Maintain Authorized Vendor Data

Throughout the authorization period, the system maintains vendor status and updates demographic information.

Inputs:
- Alaska WIC SPIRIT users update vendor status and demographic information.

Outputs:
- Alaska WIC SPIRIT system records the information in the appropriate system tables.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.73	Default Current Date for Vendor Complaints *SPIRIT will default to the current system date (today's date) for the date of the complaint. This can be changed by the user.*	Yes
B.258	Enable Vendors to Be Contracted With Other WIC Programs *SPIRIT will not record whether vendors contract with more than one WIC program.*	No
B.262	Enable Multiple Agencies within the State *SPIRIT will enable vendors to be associated with multiple local agencies.*	Yes

4.9.4 Monitor Vendor Training

The State agency provides training annually to at least one representative of each vendor. Prior to or at the time of a vendor's initial authorization, and at least once every three years thereafter, the training is in an interactive format that includes a contemporaneous opportunity for questions and answers, such as a meeting or video teleconferencing. For the annual training requirement, the State agency must document that it provided training materials (e.g., a newsletter) to each vendor (i.e., each chain store location). For the interactive training requirement, the State agency may provide interactive training to a chain store's trainer, provided the State agency receives documented assurances that at least one representative of each vendor will receive interactive training covering the required content (§ 246.12(i)(2)) during the current year.

The annual training must include instruction on the purpose of the Program, the supplemental foods authorized by the State agency, the minimum varieties and quantities of authorized supplemental foods that must be stocked by vendors, the procedures for transacting and redeeming food instruments, the vendor sanction system, the vendor complaint process, the claims procedures, and any changes to program requirements since the last training.

Vendor training is vital because it helps ensure that vendors understand their WIC responsibilities, including maintaining sufficient varieties and quantities of WIC-authorized foods, providing supplemental foods to certified participants (or proxies), ensuring that participants use their food instruments properly, and redeeming food instruments in accordance with WIC policy. Vendor training also ensures that vendors are aware of vendor rules and procedures, so that if program noncompliance or violations occur, vendors cannot claim they were unaware of program rules and procedures.

The Alaska WIC SPIRIT system supports vendor training by recording and reporting on scheduled training sessions, and the vendor's attendance at or receipt of required training. The system enables WIC staff to identify which vendors have not fulfilled their training requirements. The system also documents the training conducted by State or local agency staff.

4.9.4.1 Track Scheduled Vendor Training[*]

The system captures and maintains data necessary for tracking vendor training and attendance to avoid duplication of data entry.

Inputs:
- Alaska WIC SPIRIT users schedule and complete vendor training activities in the system.

Outputs:
- Alaska WIC SPIRIT system updates vendor training information in the appropriate system tables and generates reports as needed for training activities.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen

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[*] Not a required function per the June, 2008 *Alaska WIC Information System Feasibility Study.*

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| B.124 | Annual Training Enabled | Yes |
| | *SPIRIT will enable annual training activity event and follow-up activity, manage annual training scheduled and attribute attendance.* | |

4.9.4.2   Track Attendance at Vendor Training and Technical Assistance Conducted

The system captures, maintains, and reports data about each vendor's attendance at the scheduled vendor training.

Inputs:
- Alaska WIC SPIRIT users update vendor training activities as appropriate.

Outputs:
- Alaska WIC SPIRIT system records the vendor training information in the appropriate system tables.

4.9.5   Support Vendor Communications

The State agency periodically sends notices and other correspondence to vendors. These communications include sending training materials to vendors, requests for food prices, notifications of rejected food instruments, and other periodic and ad hoc communications. The system automates the production of communications.

4.9.5.1   Produce Correspondence to Vendors

The system supports most staff correspondence to vendors including mail and/or email.

Inputs:
- Alaska WIC SPIRIT users select the communication type or topic for vendor correspondence.

Outputs:
- Alaska WIC SPIRIT system generates the correspondence selected.

Applicable Business Rule (BR) Modifications		
BR ID	*Title*	*Value(s) Chosen*
B.115	Save Electronic Copy of Vendor Letters	Yes
	SPIRIT will save an electronic copy of all letters sent to a Vendor.	

4.9.6   Perform Confidential High Risk Vendor Analysis

An important function of vendor management is to identify vendors that have a high probability of violating program requirements. A description of the automated functions pertaining to this area of vendor management are available in the following, confidential addendum to the FSRD. When requesting a copy of these functional descriptions, please refer to FSRD *Section 4.9.6: Perform Confidential High Risk Vendor Analysis*.

4.9.7   Track Compliance Investigations

FNS requires the State agency to conduct compliance investigations of a minimum of five percent of

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the number of vendors authorized by the State agency as of October 1 of each fiscal year. The State agency must conduct compliance investigations on all high-risk vendors up to the five percent minimum. A compliance investigation of a high-risk vendor may be considered complete when the State agency determines that a sufficient number of compliance buys have been conducted to provide evidence of program noncompliance, when two compliance buys have been conducted in which no program violations are found, or when an inventory audit has been completed.

If fewer than five percent of the State agency's authorized vendors are identified as high-risk, the State agency must randomly select additional vendors on which to conduct compliance investigations sufficient to meet the five-percent requirement. A compliance investigation of a randomly selected vendor may be considered complete when the State agency determines that a sufficient number of compliance buys have been conducted to provide evidence of program noncompliance, when two compliance buys are conducted in which no program violations are found, or when an inventory audit has been completed.

Compliance investigations are conducted as undercover compliance buys in which an investigator poses as a WIC participant or proxy and performs a WIC transaction to determine whether the vendor is committing program violations, such as overcharging for supplemental foods, accepting WIC benefits as payment for unauthorized foods, or exchanging food instruments for cash.

Compliance buys visits are a vital part of vendor management in the WIC Program. They serve to identify vendor non-compliance and provide evidence needed to sanction vendors. The extent to which compliance buys result in the detection of violations also helps the State agency to refine high risk criteria.

The system records data about investigations as part of a comprehensive profile of vendors' WIC practices. This is necessary for imposing sanctions, responding to appeals of sanctions, and targeting future compliance activities.

4.9.7.1   Maintain Special Investigator Record for Compliance Buys

When the State agency conducts compliance buys, it needs a way to identify and track food benefits issued to compliance investigators. Because the Alaska WIC SPIRIT system issues food benefits only to individuals recorded in the database, the system should enable the addition, modification, and deletion of investigator data as a special category of participant.

Inputs:
- Alaska WIC SPIRIT users enter fictitious compliance investigator information.

Outputs:
- Alaska WIC SPIRIT system records the appropriate information in the system tables.
- Alaska WIC SPIRIT system issues food instruments for the compliance investigation.

4.9.7.2   Maintain Food Benefit Redemption Data from Compliance Buys

Once the investigator has completed a compliance buy, the system retrieves the data for the food benefits redeemed as a result of the compliance buy.

Inputs:

- Alaska WIC SPIRIT system retrieves redemption data as a part of food instrument data retrieval from the banking contractor.

Outputs:

- Alaska WIC SPIRIT system updates the compliance buy record.

4.9.7.3   Maintain Compliance Buy Data

The system captures, maintains, and reports data about investigation activities based on State-defined user access roles. The data includes the dates the compliance buys or investigations were conducted and the tasks performed as part of each activity, a summary of any noted violations, and cross references to food instruments if used by investigators.

Inputs:

- Alaska WIC SPIRIT users provide compliance buy investigation activity information.
- Alaska WIC SPIRIT system utilizes user provided information from compliance buy data investigation activities to inform the report.

Outputs:

- Alaska WIC SPIRIT system generates compliance summary reports, compliance history, and correspondence to vendors regarding investigations.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.215	Compliance Buy Default Food Package ID for a Breastfeeding Woman *SPIRIT will use Default Food Package ID #17 for Compliance Buys for a Breastfeeding woman.*	17
B.216	Compliance Buy Default Food Package ID for a Child *SPIRIT will use Default Food Package ID #18 for Compliance Buys for a Child.*	18
B.217	Compliance Buy Default Food Package ID for a Infant *SPIRIT will use Default Food Package ID #19 for Compliance Buys for an Infant.*	19
B.218	Compliance Buy Default Food Package ID for a Non-Breastfeeding Woman *SPIRIT will use Default Food Package ID #14 for Compliance Buys for a Non-Breastfeeding woman.*	14
B.219	Compliance Buy Default Food Package ID for a Pregnant Woman *SPIRIT will use Default Food Package ID #16 for Compliance Buys for a Pregnant woman.*	16

4.9.7.4   Support Inventory Audits

The system assists the State agency in preparing for inventory audits. These audits include comparing a vendor's redemptions of food instruments with the vendor's internal inventory and sales records.

Inputs:

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- Alaska WIC SPIRIT system compares the redemption of food instruments for a vendor with the vendor inventory and sales records.

Outputs:
- Alaska WIC SPIRIT system generates data for the TIP Report.

4.9.8 Track Routine Monitoring

Routine monitoring means overt, onsite monitoring during which program representatives identify themselves to vendor personnel. The State agency must conduct routine monitoring visits on a minimum of five percent of the number of vendors authorized by the State agency as of October 1 of each fiscal year in order to survey the types and levels of abuse and errors among authorized vendors and to take corrective actions, as appropriate. The State agency must develop criteria to determine which vendors will receive routine monitoring visits and must include such criteria in its State Plan.

Routine monitoring usually includes an examination of vendor facilities to ensure all WIC-approved foods are available in sufficient variety and quantity, confirming price survey data, and observing whether cashiers are following required procedures for accepting and processing food instruments. The system should record data about monitoring visits as part of a comprehensive profile of vendors' WIC practices.

4.9.8.1 Maintain Routine Monitoring Data

The system captures, maintains, and reports data about monitoring activities.

Inputs:
- Alaska WIC SPIRIT users provide data regarding the monitoring activity.

Outputs:
- Alaska WIC SPIRIT system generates a Monitoring summary report; displays monitoring history; and generates data for TIP Report.

4.9.9 Monitor Sanctions and Appeals

Sanctions include disqualification, Civil Money Penalties (CMP) in lieu of disqualification, and administrative fines. Actions in addition to sanctions include remedial training, warning letters and sanction points. For the most serious violations, Federal regulations prescribe the sanctions which the State agency must impose (mandatory sanctions). The State agency may establish sanctions for other violations, within certain limitations set forth in Federal regulations. All sanctions must be imposed in accordance with the State agency's sanction schedule.

After a sanction is imposed, the vendor may appeal the sanction through an administrative hearing and/or judicial proceedings except for a disqualification resulting from an FSP disqualification. For mandatory sanctions, the State agency must document in the vendor file whether a disqualification would result in inadequate participant access to supplemental foods, and the State agency must impose a CMP instead of a disqualification if the disqualification would result in inadequate participant access, with a few rare exceptions. Also, the State agency must notify a vendor in writing when an investigation reveals an initial violation for which a pattern of violations must be established in order to impose a sanction, before another such violation is documented, unless the State agency

determines that notifying the vendor would compromise an investigation and documents this in the vendor file.

Retaining records of compliance investigations and vendor sanctions is important to support other WIC functions, in particular identifying and scheduling vendors for future compliance investigations, and selecting vendors for WIC authorization. The system also supports the reporting requirements related to compliance buys and sanctions.

Occasionally, vendors disqualified by one State agency will relocate to another State, open a store, and apply for authorization as a WIC vendor. The sharing of compliance and sanction information among WIC State agencies is useful to help identify vendors that have a history of WIC abuse and should not be selected for WIC authorization because of this history.

The system supports this function by retaining a complete history of compliance investigations and vendor sanctions, including those investigations that resulted in sanctions and those for which sanctions were not imposed or not upheld on administrative or judicial review.

4.9.9.1 Manage Vendor Sanctions

Vendors who violate the WIC Program are sanctioned in accordance with State and Federal policy and regulations. (Refer to the current federal guidance for the information on sanctions for vendor violations and CMPs.) Vendors who are disqualified cannot accept WIC food instruments for the duration of their disqualification period. When a vendor is disqualified, the system should store the disqualification information in the Sanction data store and update the Vendor Authorization data store to reflect a change in vendor status.

Inputs:
- Alaska WIC SPIRIT users enter violation and sanction information.

Outputs:
- Alaska WIC SPIRIT system generates a sanction summary report and notice to vendor of sanction imposed.
- Alaska WIC SPIRIT system generates a Summary of CMPs due and paid to-date.
- Alaska WIC SPIRIT system generates data for the TIP Report.
- Alaska WIC SPIRIT system updates the vendor record in the appropriate system tables.

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
B.86	Pending Disqualification Duration *SPIRIT will allow a vendor to be in a pending disqualification status for ninety-one (91) days before they are permanently disqualified.*	91 days
B.93	End of Day Pending Vendor Disqualification *SPIRIT will utilize the date Vendor Management staff have entered into the system and automatically disqualify the vendor on the date supplied, via the EOD process.*	Yes
B.95	Use Disqualification Formula *SPIRIT will not utilize the Disqualification Formula to automatically disqualify a Vendor.*	No

4.9.9.2   Monitor and Track CMP Payments

Once a vendor is assessed a CMP, the system should support the capability to monitor the CMP status and track CMP payments.

Inputs:
- Alaska WIC SPIRIT users provide CMP assessment amounts and payments.

Outputs:
- Alaska WIC SPIRIT system generates notices to vendor regarding CMP status; generates report of outstanding/unpaid CMPs.

4.9.9.3   Maintain Vendor Appeal Data

Vendors have the right to appeal adverse actions, including sanctions. When vendors appeal sanctions, the system captures and maintains data about vendor appeals, including tracking appeals from initial request through the final decision. For completed appeals, the system should maintain data regarding the decision and outcome of the appeal.

Inputs:
- Alaska WIC SPIRIT users update vendor appeal information.

Outputs:
- Alaska WIC SPIRIT system generates vendor appeal summary report, appeal history, and notice to vendor indicating outcome of appeal.

4.9.10 Coordinate with Food Stamp Program

The Alaska WIC State agency and the Food Stamp Program (FSP) must exchange information about mandatory sanctions imposed on vendors/retailers. If a vendor is disqualified by FSP, the WIC Program must disqualify the vendor, unless participant access would be jeopardized by the disqualification. Conversely, FSP must disqualify the vendor based on most mandatory WIC disqualifications, except in cases of participant hardship. Timely exchange of information between WIC and FSP accelerates the disqualification of abusive vendors, reducing the risk of fraud and abuse in both programs, as well as increasing the effectiveness of investigative resources.

The system supports this data exchange by accepting as input information about FSP sanctions, and by producing reports of WIC sanctions for use by FSP. If the State agency needs a hard copy of the FSP disqualification notice for legal reasons the Alaska WIC SPIRIT system supports manual entry of FSP sanction data into vendor records. A PDF file may be acceptable as a hard copy.

4.9.10.1 Maintain Food Stamp Program Violation Data

The system captures data from FSP regarding sanctions imposed against vendors that are also authorized by the WIC Program. When the WIC State agency receives notification that vendors have been disqualified from FSP, the WIC State agency will determine if this vendor is WIC-authorized. If so, the State agency can initiate disqualification action.

Inputs:

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- Alaska WIC SPIRIT users update WIC vendor information with FSP sanctions and if necessary disqualifications.

Outputs:
- Alaska WIC SPIRIT system updates the vendor information in the appropriate system tables.

4.9.10.2 Report WIC Sanctions to the Food Stamp Program

The system shall provide a method for notifying the Food Stamp Program of any WIC vendor sanctions and disqualifications. (Refer to the current federal guidance for the specific information on when to notify FSP and what information is required to be included in the FSP notice.)

Inputs:
- Alaska WIC SPIRIT system utilizes vendor information stored in the system tables.

Outputs:
- Alaska WIC SPIRIT system generates notices to FSP of WIC vendor CMPs and/or disqualifications.

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4.10 Scheduling

Automated scheduling capability allows WIC staff to operate and see participants more efficiently. Appointments and nutrition education classes can be scheduled months in advance and available openings can be easily identified. Scheduling functionality also allows participants to choose a time that best meets their needs and allows WIC staff time to be managed more effectively.

Agency personnel can schedule staff shifts, outreach activities, in-service training, and other administrative tasks using the scheduling function. The scheduler can also be used to track resources associated with providing customer service such as meeting rooms, audio-visual equipment, and clinic mobile units.

While the scheduling function is critical in the local agencies and clinics, it is also helpful for other areas of the WIC Program. The Vendor Management function can schedule vendor education classes, monitoring investigations, price survey visits, record audits, and rebate contract negotiations. State personnel can use this for planning local agency audits, meetings, and in-service training.
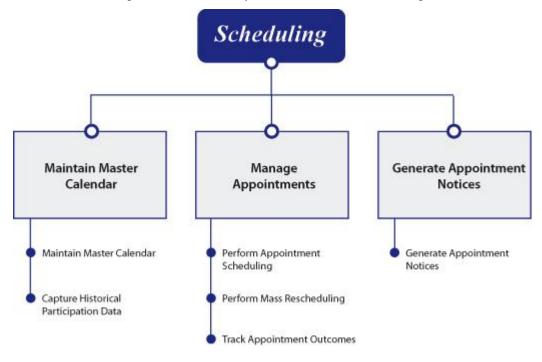
Figure 11- Functional Decomposition: Alaska WIC SPIRIT – Scheduling

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4.10.1 Maintain Master Calendar

The master calendar establishes the appointment days, times, and availability for the entire clinic or local agency.

4.10.1.1 Maintain Master Calendar

The system maintains a master calendar for scheduling purposes. Each clinic or local agency will maintain their resources, availability, nutrition education classes, hours of operation and scheduled holidays.

Inputs:

- Alaska WIC SPIRIT users enter calendar characteristics and specific parameters to create and maintain the master calendar.

Outputs:

- Alaska WIC SPIRIT system records the information and updates the appropriate system tables.

4.10.2 Manage Appointments

4.10.2.1 Perform Appointment Scheduling

The system maintains an appointment schedule and allows users to schedule appointments for individual or group appointments. Using the master calendar, WIC staff is able to track the availability of a particular date and time to ensure that a particular appointment slot is available when scheduling an appointment. Each time an appointment is scheduled for a specific slot, the system should decrement the number of available slots.

Inputs:

- Alaska WIC SPIRIT users check for appointment availability for a particular time and date.
- Alaska WIC SPIRIT users select an appointment slot to schedule an appointment.

Outputs:

- Alaska WIC SPIRIT system displays appointment schedule availability and updated schedule of clinic appointment by event types.
- Alaska WIC SPIRIT system records the appointment information in the appropriate system tables.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.183	Show Appointment Confirmation Dialog from View Appointments by Date *Clinic staff will view a "Confirm Appointment" dialog when the "Confirm" button is selected on the "View Appointments for Date"*	Yes

	window.	
B.190	Enable "Weekly View" Option in Schedule Appointments Screen *SPIRIT will display the "View Calendar By" radio button group on the Schedule Appointment dialog window where "Weekly View" is an option.*	Yes
B.315	Change the Name of Medical Update Appointment Types *"Medical Update" label on the appointment scheduler dialog window within SPIRIT will say "MID-CERT UPDATE".*	MID-CERT UPDATE

4.10.2.2 Perform Mass Rescheduling*

Clinics may need to reschedule all appointments on a certain day or at a certain time due to conflict, availability of staff, or adverse weather conditions. The system has the capability to accommodate this type of situation. The system allows the user to select a day, time, or event and reschedule all appointments for another day, time, or event.

Inputs:
- Alaska WIC SPIRIT users reschedule several appointments at one time for another day or time.

Outputs:
- Alaska WIC SPIRIT system records the new appointment information in the appropriate system tables.

4.10.2.3 Track Appointment Outcomes

The system tracks individual attendance (or non-attendance) at scheduled events for individuals, households, and group appointments.

Inputs:
- Alaska WIC SPIRIT users update appointment information for the participant.

Outputs:
- Alaska WIC SPIRIT system generates reports which display appointment outcomes.

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
B.170	Display Unattended Education Classes in the Missed Appointments Follow-up Report *(Also in section 4.12 Reporting)* *SPIRIT will include unattended nutrition education classes in the Missed Appointment Follow-Up Report.*	Yes

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* Not a required function per the June, 2008 *Alaska WIC Information System Feasibility Study.*

4.10.3 Generate Appointment Notices

4.10.3.1 Generate Appointment Notices

The system prints or emails a notice for a scheduled appointment; this accommodates any appointment type, such as certification appointments, nutrition education visits and classes, and food benefit pick-up appointments. The notice includes information necessary to remind the individual or family of the appointment, such as the name of the person(s) with the appointment, the type of appointment, the date, and the time of the appointment.

Inputs:
- Alaska WIC SPIRIT users access the appointment(s) and request to generate an appointment notice.

Outputs:
- Alaska WIC SPIRIT system generates the appointment notice(s).

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.188	Enable System Generated Appointment Reminder Emails *SPIRIT will have the ability to generate group education class reminder email notices for a WIC program as part of the End of Day process. The end of day process checks a certain number of days ahead for appointments. It automatically generates and sends emails to participants with appointments on the specified future date who have provided email addresses (stored in the participant's folder).*	Yes
B.189	Enable Logging of Appointment Reminder Email Details in EOD Process *SPIRIT will log the details of appointment reminder emails that the system generates during the EOD process.*	Yes

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4.11 System Administration

The System Administration functional area is intended to contribute to the overall flexibility, efficiency, and security required for operating and maintaining the Alaska WIC SPIRIT system.

This functional area provides the capabilities to maintain information contained in system data (reference) tables, to control general access to the system as well as the ability to perform specific functions, to perform system "housekeeping" and maintenance functions, and to move certain files to off-line storage for increased system efficiency. Additionally, this functional area includes reports that are relevant to monitoring system operation and performance.
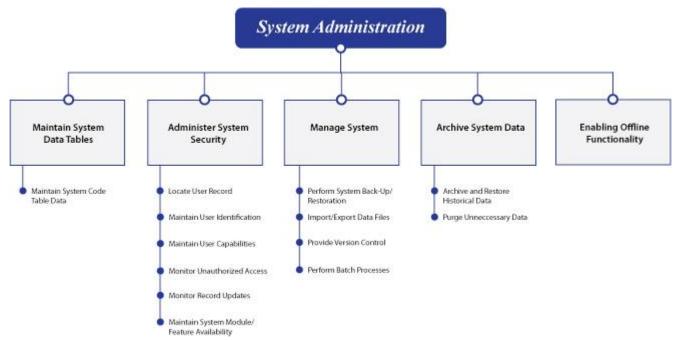
Figure 12- Functional Decomposition: Alaska WIC SPIRIT – System Administration

4.11.1 Maintain System Data Tables

That State of Alaska must have the flexibility to adapt to periodic changes in food packages, nutrition measurement, vendor risk, and other elements of the WIC Program. In an automated system, many of these data elements are stored in data code tables used for data validation and other internal system processes. For the sake of efficiency, many of these data elements are stored as one- or two-digit codes. Each code typically has a full text translation. These codes and accompanying text are established by the State agency. Data elements contained in data code tables could be shared with one or more data stores.

This data code approach to maintaining information becomes useful for entering data entered into the system. For example, when a participant's racial or ethnic origin is recorded during enrollment

processing, the racial/ethnic code entered into the system is compared to the legitimate codes contained in the Racial/Ethnic Code data code table. If the code is located in the table, the information is accepted and stored by the system. If, however, the code does not exist in the table, the system returns an error message to the user.

The ability to maintain the system's data code tables is critical to allow the system to easily adapt to changes in the WIC Program. The information in these tables must be current and accurate to ensure the accuracy of the data validation processes that take place in the system. Incomplete or erroneous data in the data tables may permit the entry of invalid data, or prevent the entry of legitimate information.

The system allows authorized users to review and update the data contained in the system data code tables. It is recommended that the update of data code table elements occur in a real-time mode so that changes can be accessed by the data validation process immediately. This implies that data code tables are shared outside the application programs. However, some tables (e.g., tables unique to a single process) could be hard coded within programs. While this is a design issue, it is important to note it in this discussion.

4.11.1.1 Maintain System Code Table Data

The system supports this function by allowing authorized users to add, delete, or change data elements in the defined tables via the application (i.e., Reference Utility). In addition, business rules used by the system to manage constraints in data are included.

Inputs:
- Alaska WIC SPIRIT authorized users add, delete, modify data elements in the Reference Utility and Reference Dictionary.
- Alaska WIC Program users define values for business rule selections.

Outputs:
- Alaska WIC SPIRIT system records the changes users make in the appropriate system tables.
- Alaska WIC SPIRIT system makes changes available to all installed Alaska WIC SPIRIT applications.
- Alaska WIC SPIRIT system utilizes values chosen for business rules to manage data constraints.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.15	Check Number Length *SPIRIT will utilize an eight (8) digit.*	8 digits
B.29	Bank Account Number for WIC Checks *SPIRIT will use 729681005678 as the Bank Account Number for Alaska WIC Checks.*	729681005678
B.49	Transit Number for WIC Checks	125200523

	SPIRIT will utilize transit number 125200523 as the Transit Number for Alaska WIC Checks.	
B.67	Pending Residency Proof – Key Value *ASI DBA's will assign the ID for the "Pending Proof" option for this business rule during development. The Value is temporary until that time. This information will be updated at that time as well.*	D
B.106	Pharmacy Wholesaler *SPIRIT will have the capability to record a Milk Wholesaler for each vendor.*	No
B.107	Vendor Stamp Number Length *SPIRIT will generate a 4 digit Vendor Stamp Number which the State can modify prior to saving the vendor record.*	4 digits
B.108	Vendor Stamp Number – Numeric Only *SPIRIT will generate a numeric Vendor Stamp Number.*	Yes
B.109	Vendor ID – Numeric Only *SPIRIT will utilize numeric only Vendor IDs.*	Yes
B.110	Vendor ID – State Assigned *SPIRIT will allow Vendor Management staff to change the SPIRIT generated Vendor ID, if desired.*	Yes
B.111	Vendor ID Length *SPIRIT will utilize four (4) digits for the Vendor ID.*	4 digits
B.206	Length of the Bank Account Number *SPIRIT will utilize twelve (12) digits for the Bank Account number.*	12 digits
B.210	Check Overlay Identification Number *SPIRIT will look for image number 10000 to print the overlay images.*	*10000 (temporary)*
B.238	Name of the State's ID Number *SPIRIT will utilize "STATE OF AK" as the state's external ID name.*	STATE OF AK
B.240	State's Postal Code Used For External Communication *SPIRIT will use the state's postal code for any external communications.*	99801-0612
B.242	Enable the Checks Radio Button on the Agency/Clinic Dialog *SPIRIT will enable the "Checks" radio button on the Update Clinic dialog in the Reference Utility module.*	Yes
B.243	Enable the Distribution List Radio Button on the Agency/Clinic Dialog *SPIRIT will disable the Direct Distribution option on the Update Clinic dialog in the Reference Utility module.*	No
B.244	Enable the EBT Radio Button on the Agency/Clinic Dialog *SPIRIT will disable the EBT option on the Update Clinic dialog in the Reference Utility module.*	No
B.245	Enable the Voucher Radio Button on the Agency/Clinic Dialog *SPIRIT will enable the Voucher option on the Update Clinic dialog in the Reference Utility module.*	Yes
B.248	Month and Day When the Income Guidelines Year Ends *SPIRIT will utilize a State Fiscal Year End 06/30 as the end date for Income Guidelines.*	06-30
B.251	Show Check Digit on MICR Line of Food Instrument Checks *SPIRIT will display the check digit on the MICR line of food instrument checks to help reduce errors when the bank reads the serial number electronically.*	Yes

B.268	Signature Pad Model Used	1 – Small Signature Pad Model
	SPIRIT will utilize the small signature pad model.	
B.322 EBT	Customize the EBT Connection Timeout	60 seconds
	SPIRIT will utilize a sixty (60) second connection timeout for the EBT interface with J.P. Morgan.	
C.23	Enabled Functionality: Formula Wholesaler in Vendor and Reference Utility	Yes
	SPIRIT will enable the Formula Wholesaler via the Reference Utility for the Vendor module.	
X.7	Use Printer Tray Configuration to Print Cheques and used for Online Only	No
	SPIRIT will not utilize the printer tray configuration to print "cheques".	

4.11.2 Administer System Security

Access to sensitive health and income information must be limited to those individuals at State and local agencies that require such information to serve WIC participants and administer the Program. The issuance of food benefits is another sensitive area that requires tighter controls than most other management information or participant processing functions. The various controls placed on access to the system in general and these areas in particular, constitute a large part of system security.

Administering system security is important because it protects the access to information in the system. System security prevents unauthorized individuals from entering or updating WIC information. It also provides a means of ensuring that only those individuals that have been adequately trained in system operations can access any of the system's functions. Finally, accurate identification of the users enables the system to create a complete audit trail of all transactions in the system.

The Alaska WIC SPIRIT system supports standard security features such as system generated user codes, passwords, and access lockout after a given number of unsuccessful system access attempts. The system is able to distinguish between those capabilities that can be performed by a State agency user and those that can be performed by a local agency user. For example, enrollment processing is usually performed at the local level, while food management is primarily the domain of the State agency. In this specific function, the Alaska WIC SPIRIT system allows authorized users to add, delete, or update user access and identification information in the system.

The Alaska WIC SPIRIT system provides the ability to record and control the specific capabilities of each user at a level defined by the State agency.

4.11.2.1 Locate User Record

The system has the capability to locate user records.

Inputs:
- Alaska WIC SPIRIT system administrators view the list of existing user records.

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Outputs:
- Alaska WIC SPIRIT system displays all users who have access to the system.

4.11.2.2 Maintain User Identification

The system allows authorized users (usually the system administrator) at the State agency level to add, delete, or update users in the system. When a new user is entered, a User Identification (ID) created by the system administrator uniquely identifies the user.

Inputs:
- Alaska WIC SPIRIT authorized users add, delete or update users in the system.
- Alaska WIC SPIRIT authorized users add new users to the system and assign a unique ID.

Outputs:
- Alaska WIC SPIRIT system records the addition of or modification to system user information.

Applicable Business Rule (BR) Modifications		
BR ID	**Title**	**Value(s) Chosen**
B.30	User Passwords Expire after 90 Days *SPIRIT will require users to change their passwords after ninety (90) days.*	90 days
B.253	Require Log In to SPIRIT WIC system Through Central Location *SPIRIT will not require log in to SPIRIT through a central location.*	No
B.259	Value Used for Reset User Passwords *SPIRIT will utilize a standard value (Sp!r1t) for reset passwords.*	Sp!r1t
B.285	User ID Maximum Length *SPIRIT will utilize a maximum User ID length of fifteen (15) characters.*	15 characters
B.286	User ID Minimum Length *SPIRIT will utilize a minimum User ID length of six (6) characters.*	6 characters

4.11.2.3 Maintain User Capabilities

The system controls access to specific functions within the system. Access to these functions is controlled for each user by indicating which functions the user is authorized to perform. For example, a clerk may be allowed to enter eligibility data, but not allowed to assign risk codes.

The system enables authorized users (e.g., System Administrator) to update these indicators for each user. The system provides a display screen that identifies the authorized capabilities, and print a listing with the names of all users at a site authorized to perform a specific function.

Inputs:
- Alaska WIC SPIRIT authorized users select and assign appropriate functions for each user.

Outputs:

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- Alaska WIC SPIRIT system updates the appropriate system tables.
- Alaska WIC SPIRIT system generates a report which identifies users at an identified location and the roles assigned to them.
- Alaska WIC SPIRIT system allows user access to only their assigned functions.

4.11.2.4 Monitor Unauthorized Access

The system monitors attempts to access the system. Unsuccessful attempts are logged for follow-up.

Inputs:
- Alaska WIC SPIRIT system records unauthorized and unsuccessful access attempts.

Outputs:
- Alaska WIC SPIRIT system generates a log file for unauthorized and unsuccessful attempts.

4.11.2.5 Monitor Record Updates

To support detailed auditing of system usage, the system captures the user who has updated system records. Each time a user enters or changes a data element, the system associates a user ID with the modified data field, as well as a date for the data element change. If there is any need to trace changes to the database, system audit files produced as a result of this function can be reviewed. The system produces a report that lists specific changes and the user and date associated with these changes. This is especially important for tracking certification functions that must be performed by different entities.

Inputs:
- Alaska WIC SPIRIT system records changes throughout the system made by system users.

Outputs:
- Alaska WIC SPIRIT system generates a report on-demand which details the changes made by particular users.

4.11.2.6 Maintain System Module/Feature Availability

The Alaska WIC SPIRIT system enables or disables certain application modules or features within the application modules based on the configuration needs of the State.

Inputs:
- Alaska WIC SPIRIT system administrator(s) enter the selection which enables or disables the function.

Outputs:

- Alaska WIC SPIRIT system either enables or disables application modules and/or individual features within a module.

BR ID	Title	Value(s) Chosen
	Applicable Business Rule (BR) Modifications	
B.243	Enable the Distribution List Radio Button on the Agency/Clinic Dialog *SPIRIT will disable the Direct Distribution option on the Update Clinic dialog in the Reference Utility module.*	No
B.244 EBT	Enable the EBT Radio Button on the Agency/Clinic Dialog *SPIRIT will disable the EBT option on the Update Clinic dialog in the Reference Utility module.*	No
B.266	Display the Name of the Local Clinic in the Title Bar *SPIRIT will display the local clinic name in the title bar of the Clinic module.*	Yes
B.297	Enable the Controls That Allow a Scanned Document to Be Assigned To Additional Household Members *SPIRIT will allow a document scanned for one (1) participant to be assigned to multiple members of the household.*	Yes
C.15	Central Administrative Site (CAS) Application *Alaska's SPIRIT implementation will include the Central Administrative Site module.*	Yes
C.16	Financial Management Application *Alaska's SPIRIT implementation will include the Financial Management module.*	Yes
C.17	Service Site (Clinic) Application *Alaska's SPIRIT implementation will include the Service Site (Clinic) module.*	Yes
C.18	State Office Application *Alaska's SPIRIT implementation will include the State Office module.*	Yes
C.19	System Administration Application *Alaska's SPIRIT implementation will include the System Administration module.*	Yes
C.20	Vendor Management Application *Alaska's SPIRIT implementation will include the Vendor Management module.*	Yes
C.23	Enable System Administration Functions in the Reference Utility: • *Vendor Action Dates* • *Vendor FI Types* • *Vendor Corporate Parents* • *Maintain Grocery Wholesaler* • *Formula Wholesaler* • *Vendor Owners*	Yes
C.24	Enable Reference Utility Functions: • *Default Food Packages* • *Ability to update default food packages / food items* • *File Types* • *Formula Food Items*	Yes

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	• *Formula Items* • *Formula Packages* • *Income Eligibility Amounts* • *Individual Education Topics* • *Machines (for Data Sync)* • *Risk Factors* • *State Use Captions*	
X.9	Include event and/or activity "Compliance Buy" in the Vendor Module *SPIRIT will include the Event and/or Activity Compliance Buy items in the Vendor Module.*	Yes
X.10	Include the Activity "Compliance Buy List Checks" in Vendor Module *SPIRIT will include the Compliance Buy List Checks functionality in the Vendor module.*	Yes
X.11	Include the Activity "Compliance Buy Returned" in Vendor Module *SPIRIT will include the Compliance Buy Returned functionality in the Vendor module.*	Yes
X.12	Include the Activity "Probation" in Vendor Module *SPIRIT will include the Probation functionality in the Vendor module.*	Yes
X.13	Include the Activity "Reinstate" in Vendor Module *SPIRIT will include the Reinstate functionality in the Vendor module.*	Yes
X.14	Include the Activity "Stamp Returned" in Vendor Module *SPIRIT will include the Stamp Returned functionality in the Vendor module.*	Yes

4.11.3 Manage System

The system automatically monitors and supports the ongoing operation of the system and its components.

4.11.3.1 Perform System Back-Up/Restoration

The system has the capability to perform an automated data backup at a scheduled time without user intervention. To restore the database, the data is copied from the back-up file to the database tables.

Inputs:
- Alaska WIC SPIRIT users perform a restore from back-up as required.

Outputs:
- Alaska WIC SPIRIT system performs a nightly back-up.

4.11.3.2 Import/Export Data Files

The WIC system is able to import data from other systems as well as to extract data to be exported to external systems, as necessary.

Inputs:
- Alaska WIC SPIRIT system imports data from other systems, as required or needed.

Outputs:
- Alaska WIC SPIRIT system exports date for other systems, as required or needed.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.211	Communicate Participant Data Changes to External Entities *SPIRIT will not communicate participant data changes to external entities.*	No
B.212	Communicate Users to External Entities *SPIRIT will not communicate users to external entities.*	No
B.213	Data Sync Acquires an External ID upon Check-in *SPIRIT will not communicate with an external system for data sync activities which negates the need to acquire an external ID upon check-in.*	No
B.227	Export Missouri Batch Files to the Data Warehouse *SPIRIT will not export Missouri Batch files to the data warehouse.*	No
B.241	Process External Data Update When the Participant Folder Opens *SPIRIT will not process external data when the Participant Folder is opened. All rules related to external system communication have been turned off.*	No
C.9	End of Day – Send and Receive External Files via FTP *SPIRIT will utilize FTP to transfer files to and from external systems (banking contractor and AKSAS system).*	Yes
C.22	State Office – PC20xx File *SPIRIT will include the function that creates the PC20xx file for delivery to the USDA will be available in the State Office application.*	Yes

4.11.3.3 Provide Version Control

The system accepts version updates at the central host.

Inputs:
- Alaska WIC SPIRIT system administrator(s) perform system updates as required.

Outputs:
- Alaska WIC SPIRIT application is updated automatically.

4.11.3.4 Perform Batch Processes

The system performs scheduled batch processing on a consistent basis.

Inputs:
- Alaska WIC SPIRIT system reads the items scheduled for batch processing.

Outputs:
- Alaska WIC SPIRIT system performs the scheduled batch processing items.

- Alaska WIC SPIRIT system updates system tables, records, and other information as required based on the process changes.

BR ID	Title	Value(s) Chosen
	Applicable Business Rule (BR) Modifications	
B.87	End of Day Import of Bank Paid File *SPIRIT will import the Bank Paid File as part of the EOD process.*	Yes
B.88	End of Day Export of Bank Price File *SPIRIT will export the Bank Price File as part of the EOD process.*	Yes
B.89	End of Day Export of Bank Stamp File *SPIRIT will export the Bank Stamp File as part of the EOD process.*	Yes
B.90	End of Day Export of Bank Vendor File *SPIRIT will export the Bank Vendor File as part of the EOD process.*	Yes
B.91	End of Day Export of Bank Issuance File *SPIRIT will export the Bank Issuance File as part of the EOD process.*	Yes
B.92	End of Day Export of Bank Stop Payment File *SPIRIT will export the Bank Stop Payment File as part of the EOD process.*	Yes
B.94	End of Day Sanction Points Process *SPIRIT will not calculate sanction points for vendors through the EOD process.*	No
B.147	End of Day Export of Dual Participation File *SPIRIT will not export a dual participation file for an external system.*	No
B.221	The Bank Issuance File Uses the Missouri Format *SPIRIT will utilize Missouri's Bank Issuance file format.*	Yes
B.222	Over 50% Vendors Use 3-month Rolling Average for Cost Containment *SPIRIT will calculate the maximum price for Over 50% Vendors utilizing the same method employed for all other vendors instead of a three (3) month rolling average for Over 50% Vendors.*	No
B.228	Run Pending Disqualification Process *SPIRIT will run the Pending Disqualification Process for Vendors during the EOD process.*	Yes
B.229	Run Pending Reinstate Stamp Process *SPIRIT will run the Pending Reinstate Stamp Process for Vendors during the EOD process.*	Yes
B.231	Run Member Adjustment Process *SPIRIT will process member adjustments during the EOD process.*	Yes
B.234	Run Process Peer Group 50% Price History *SPIRIT will process the Over 50% Peer Group Price History through the EOD process.*	No
B.236	Run Reinstate Vendors Process *SPIRIT will reinstate vendors who have temporarily disqualified through the EOD process.*	Yes
B.237	Include Vendor Processing in EOD Process *SPIRIT will include vendor processing through the EOD process.*	Yes
B.255	Include Optional High Risk Vendor Reports *SPIRIT will include optional High Risk Vendor Reports in the EOM*	Yes

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	process.	
C.7	End of Day - Process 3 Month Rolling Average for Peer Group Pricing: • (A) Rolling Average Number of Standard Deviations • (B) Rolling Average Variance Method • (C) Enable 3-month rolling average for the peer group food instrument type and food item *SPIRIT will automatically recalculate the group average and maximum prices every two (2) weeks based upon actual redemption to obtain a three (3) month rolling average for the peer group food instrument type/food item as part of the EOD process.*	• (A) 4 Standard Deviations • (B) Unbiased • (C) Yes
C.10	End of Month Processes *SPIRIT will enable the following EOM processes:* • (A) Include Bank Reconciliation Processing • (B) Include Caseload Reports • (C) Include Caseload tables in month end processing • (D) Include Caseload Projection processing in Month End • (E) Include Caseload Unduplicated tables in month end processing • (F) Include CDC files in Month End • (G) Include Dual Enrollment processing in month end • (H) Include Enrollment Reports • (I) Include Financial reports in month end processing • (J) Include Food Instrument Reports	• (A) – (J) Yes

4.11.4 Archive System Data

WIC Program requirements stipulate that program records be kept for a period of time. To satisfy this requirement while preserving efficient system operation, it may be necessary to remove information that is not required for the day-to-day processing in the system. Historical WIC data can be stripped from the system and stored off-line (archived) for potential future use.

4.11.4.1 Archive and Restore Historical Data

The system archives historical WIC participant records according to parameters specified by the State agency. It is possible to specify different periods for different types of records since it is important to retain some types of data for longer periods than other data. The system is also able to retrieve files for user access within a specified period of time (e.g., 24 hours), upon request to the State agency.

Inputs:
- Alaska WIC SPIRIT system reads parameters for archival.

Outputs:
- Alaska WIC SPIRIT system archives data per parameter values and updates system tables as appropriate.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
C.8 / B.230	End of Day – Archive Inactive Participants *SPIRIT will automatically archive participants who have not received WIC services for six (6) months (as described in B.233); participants who have not been back for sixty (60) days after applying for WIC; participants whose last certification attempt was ineligible more than six (6) months ago and has not been serviced. These archived participants will be moved to agency eighty-eight (88).*	Yes

4.11.4.2 Purge Unnecessary Data

The system allows this information to be purged completely.

Inputs:
- Alaska WIC SPIRIT system reads the parameters in the system tables.

Outputs:
- Alaska WIC SPIRIT system performs the purge for applicable records.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.21 / B.233	Purge Ineligible Participants *SPIRIT will purge participants when Ineligible for 6 months or more.*	Yes

4.11.5 Enabling Offline Functionality

Federal regulations require that only authorized individuals have access to WIC information.

Applicable Business Rule (BR) Modifications		
BR ID	Title	Value(s) Chosen
B.284	Use the HTTPS Protocol during Data Sync *SPIRIT will utilize HTTPS protocol during data sync.*	Yes
C.21	Satellite Servers *SPIRIT will use satellite servers to provide WIC services at remote locations.*	Yes

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4.12 Reporting

The system produces reports for State and local agencies to use in managing their systems, as well as for information that has to be submitted to FNS or CDC. While standard reports are necessary, particularly for reports such as the FNS-798, ad hoc reports allow for flexibility in accessing information on an as needed or one-time-only basis.

The reporting function uses data from all of the other functional areas to provide information that can be used for monitoring, management, planning, and evaluation.
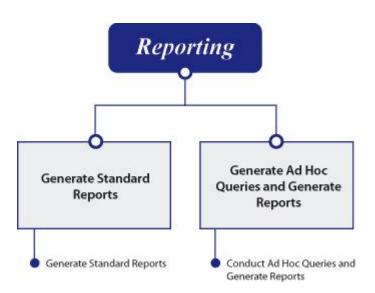
Figure 13- Functional Decomposition: Alaska WIC SPIRIT – Reporting

4.12.1 Generate Standard Reports

4.12.1.1 Generate Standard Reports

Standard reports provide pre-defined data sets in a consistent format. These recurring reports should be able to be displayed on the screen, printed in hard copy, or saved to an electronic file for later printing or import into another software product. To allow for some limited customization of standard reports, the system also allows users to enter date selection or sort parameters to limit the scope of data included in the report or method of presenting the data.

The list on the following page displays the standard reports available in the Alaska WIC SPIRIT system.

Inputs:

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- Alaska WIC SPIRIT users select the report(s) desired for viewing, printing, or displaying on-screen.
- Alaska WIC SPIRIT users create the ad-hoc report(s) desired.

Outputs:
- Alaska WIC SPIRIT system generates the reports.
- Alaska WIC SPIRIT system generates the ad-hoc report requested.

	Applicable Business Rule (BR) Modifications	
BR ID	Title	Value(s) Chosen
B.76	Redemption Change Report Limit *SPIRIT will include vendors with a fluctuation in either the number or the value of food instruments redeemed that exceeds the twenty percent (20%) limit (higher or lower) will be listed on the report.*	20%
B.77	Small Volume Vendors Report Threshold *SPIRIT will include vendors on the Small Volume Vendors Report that had redemptions from fewer than twenty-five (25) different participants during the report month.*	25%
B.78	Low Variance Vendor Summary – Redeemed Food Instruments Threshold *SPIRIT will include vendors with at least twenty percent (20%) of redeemed food instruments per food instrument type/vendor for the Low Variance Vendor Summary.*	20%
B.79	Low Variance Vendor Summary – Redemption Price Percentage Threshold *SPIRIT will include vendors with a twenty percent (20%) difference between the highest and lowest redemption prices of the selected food instruments per food instrument type/vendor for the Low Variance Vendor Summary.*	20%
B.80	Include Redeemed Amount on Small Volume Vendors Report *SPIRIT will include the dollar value of the food instruments redeemed by the vendor during the report month are included on the report for each qualifying vendor.*	Yes
B.170	Display Unattended Education Classes in the Missed Appointments Follow-up Report *SPIRIT will include unattended nutrition education classes in the Missed Appointment Follow-Up Report.*	Yes
B.254	Include Optional Financial Reports *SPIRIT will include optional financial reports as part of the EOM process.*	Yes
C.11	Report Heading *SPIRIT will not display "Chickasaw Nation" on report headings.*	No
X.3a	First Protocol for Breastfeeding Peer Counselor Contacts Report *SPIRIT will include breastfeeding participants that have consulted with a Breastfeeding Peer Counselor and have a delivery date during the given date range on the Breastfeeding Peer Counselor Contacts Report. The report will display the number of BFPC contacts that were made within seven (7), fourteen (14), and twenty-one (21) days after the*	7 days

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	participants Actual Delivery Date (ADD).	
X.3b	Second Protocol for Breastfeeding Peer Counselor Contacts Report *SPIRIT will include breastfeeding participants that have consulted with a Breastfeeding Peer Counselor and have a delivery date during the given date range on the Breastfeeding Peer Counselor Contacts Report. The report will display the number of BFPC contacts that were made within seven (7), fourteen (14), and twenty-one (21) days after the participants Actual Delivery Date (ADD).*	14 days
X.3c	Third Protocol for Breastfeeding Peer Counselor Contacts Report *SPIRIT will include breastfeeding participants that have consulted with a Breastfeeding Peer Counselor and have a delivery date during the given date range on the Breastfeeding Peer Counselor Contacts Report. The report will display the number of BFPC contacts that were made within seven (7), fourteen (14), and twenty-one (21) days after the participants Actual Delivery Date (ADD).*	21 days

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Standard Reports (Alphabetical)	
Report Name	**Description**
🔲 Account Balance Report	The Generate Account Balance Report screen is used to generate a report of benefits issued to a participant or each member of a household and benefits yet to be redeemed by the household.
Action Date Due Report	The Generate Action Date Due Report screen is used to generate an Action Date Due report for Vendors.
Actual Enrollment versus Caseload Assigned Report	The Generate Actual Enrollment versus Caseload Assigned Report screen is used to generate an Actual Enrollment Versus Caseload Assigned report that contains the number of participants that were actually enrolled in WIC compared with the caseload assigned to the clinic in the county, municipality, and time period.
Client Address Label for Benefits Report	The Generate Client Address Label for Benefits screen is used to generate an address label for each food instrument check to be mailed.
Alternate Authorized Representative Form	The Generate Alternate Authorized Representative Form screen is used to generate a blank Alternate Authorized Representative form.
Annual Training Roster	The Generate Annual Training Roster screen is used to generate an Outstanding Applications report for Vendors.
Annual Vendor Training Letter	This letter informs the vendor of the annual training schedule so the vendor can choose when to attend training.
Application Approval Letter	This letter informs the vendor that he/she is approved to participate as a WIC Vendor and to sign the enclosed Vendor Agreement and return it to the state office.
Application Denial Letter	This letter informs the vendor that his/her application has been denied. The letter gives the reasons for the denial, and appeal rights information.
Application Letter - Chain	This letter is sent to retail grocery chain store vendors (those who operate 11 or more stores spread over a large geographic area) that have requested applications for the contract cycle. The letter identifies the required information and forms that a corporate chain office needs to complete to be considered for the contract cycle.
Application Letter - Franchise/Independent Vendors	This letter is sent to retail grocery store vendors who operate under an independent owner or

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Standard Reports *(Alphabetical)*

Report Name	Description
	as a franchise that have requested applications for the contract cycle. The letter identifies the required information and forms that a vendor needs to complete to be considered for the contract cycle.
Application Letter - Independent Pharmacy	This letter is sent to independent pharmacy vendors that have requested applications for the contract cycle. The letter identifies the required information and forms that a pharmacy needs to complete to be considered for the contract cycle.
Application Letter - Pharmacy Chain	This letter is sent to pharmacy chain store vendors that have requested applications for the contract cycle. The letter identifies the required information and forms that a Vendor needs to complete to be considered for the contract cycle.
Appointment Notice	This document can be generated to notify a client of an appointment that she is scheduled to attend. The appointment notice can be generated on demand, or it can be queued for generation at a later time.
Appointment Notice Address Labels	Address labels can be produced for all clients who will receive an appointment notice for mailing purposes and are generated when the Address Labels section is completed and the OK button is clicked on the Generate Appointment Notice screen.
Appointments for Date Listing Report	The report allows the user to print all appointments occurring on a specified date. The report is available in the following application(s): Clinic.
Authorized Vendors Report	The Authorized Vendors report lists all active Vendors in each Agency or lists a single new vendor. This report is generated on demand from the Generate Authorized Vendors Report screen or automatically when a new vendor is issued a Vendor Stamp.
Average Actual Price Comparison Report	The Average Actual Price Comparison Report lists the average actual price for all food instruments redeemed during the past three months for each vendor peer group and food instrument type. The report also lists the percentage of food instruments for each vendor that exceeds the average actual price.
Average Cost Per Food Instrument Type Report	This report will also be generated as part of the month-end process using the selection criteria of "All". Individual clinics, agency summaries and the state summary will be printed.

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Standard Reports (Alphabetical)

Report Name	Description
	Data is grouped on the report based on selection criteria- agency, clinic, state or all. Within this, vendor peer group and food instrument type group the data. The report includes the following summaries: Total food instruments with paid date within the requested month, total paid amount of those food instruments, and average per food instrument type for each line (total paid amount / total food instruments).
Bank Reconciliation Control Report	The report displays the number and dollar amount for paid, rejected, and exceptions.
EBT Benefit Report	The Generate Benefit Report screen is used to generate a report of benefits issued to a participant or each member of a household and benefits remaining to be issued.
Breastfeeding Discontinuance Report	This report will also be generated as part of the month-end process. The Breastfeeding Discontinuance Report is an analysis of the duration of breastfeeding by race/ethnicity when breastfeeding is stopped in the reported period.
Breastfeeding Initiation Report	The Generate Breastfeeding Initiation Report screen is used to generate a Breastfeeding initiation report that contains infants born/certified within a date range who were ever breastfed divided by the total number of infants born/certified within that same date range.
Breastfeeding Item Inventory Report	The Breastfeeding Item Inventory Report provides inventory management data as of a specified date. It is a point in time report. The report shows breastfeeding item orders, breastfeeding items that have been ordered but not received and breastfeeding item availability. The Detail version of this report includes a separate line for each consignment of breastfeeding items to the clinics and the total amount for each breastfeeding item. The Summary version of this report only includes the total amount for each breastfeeding item.
Breastfeeding Peer Counselor Activity Report	The Breastfeeding Peer Counselor Activity Report lists the participants that consulted with each breastfeeding peer counselor during a given date range along with the topics that were discussed.
Breastfeeding Peer Counselor Contact Summary	The Breastfeeding Peer Counselor Contact(s) Summary report summarizes the types of contacts that each peer counselor made during a given date range.
Breastfeeding Peer Counselor Contacts Report	The Breastfeeding Peer Counselor Contacts Report lists the Breastfeeding participants that

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Standard Reports (Alphabetical)	
Report Name	**Description**
	have consulted with breastfeeding peer counselor and have a delivery date during the given date range. It includes the date of the contacts and where they fall within the established protocol.
Breastfeeding Summary Report	The Breastfeeding Summary report will allow the user to print a summary report of the number and percentage of infants who were breastfeeding during a specified time period.
Breastfeeding Supplies Issuance Report	The Breastfeeding Supplies Issuance report lists all participants who were issued breastfeeding supplies during the specified date range.
Breastfeeding Women Peer Counselor Contacts Report	The Breastfeeding Women Peer Counselor Contacts Report includes all breastfeeding participants whose actual delivery date falls within the given date range.
Breastfeeding Women Peer Counselor Contacts Address Labels	Address labels may be produced for the breastfeeding women that have peer counselor contacts.
Breastfeeding Women Pending Peer Counselor Contact Report	The Breastfeeding Women Pending Peer Counselor Contact Report includes all Breastfeeding participants who have not been contacted by a breastfeeding peer counselor and their actual delivery date falls within the given date range.
Breastpump Inventory Report	The Breastpump Inventory Report shows breastpump orders, breastpumps that have been ordered but not received, breastpumps received and assigned/unassigned, and breastpump availability. The Detail version of this report includes a separate line for each consignment of breastpumps to the clinics and the total quantity for each breastpump. The Summary version of this report only includes the total lines.
Breastpump Issuance Report	The user may generate the Breastpump Issuance report from the Generate Breastpump Issuance Report screen. The report lists all participants who where issued a breastpump during the specified date range. The Detail version of this report lists each participant that received a breastpump during the specified date range and the total number issued for each breastpump. The Summary version of this report only includes the total number issued during the specified date range.

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Standard Reports *(Alphabetical)*	
Report Name	*Description*
Breastpump Issuance to Breastfeeding Counselors Report	The Breastpump Issuance to Breastfeeding Counselors report lists all breastfeeding counselors who were issued at least one breastpump during the specified date range.
Breastpumps Loaned to Locations Report	The Breastpumps Loaned to Locations report lists all breastpump that have been loaned to a specific location. The report does not list the breastpumps that were loaned and then returned to the inventory.
Breastpumps Returned to Manufacturer Report	The Breastpumps Returned to Manufacturer report lists the participants who returned a damaged breastpump during the specified date range.
Caseload Assigned Comparison - Enrollment Report	The Caseload Assigned Comparison - Enrollment report is a month-by-month count of participants by priority who were eligible to receive WIC benefits during the reported month.
Caseload Assigned Comparison - Reported Participation Report	The Caseload Assigned Comparison - Reported Participation report is a month-by-month count of participants by priority who received WIC benefits during the reported month.
Caseload Management Projection System Report	The Caseload Management Projection System report consists of individual agency summaries and the state summary. The report is also generated as part of the month-end process using the selection criteria of "All". The Caseload Management Projection System summarizes enrollment, participation, and redemption totals at the end of the issuance month. Once the month has been reported in this section, the values will not be adjusted to reflect additional data received in the 30-day and closeout months. The following Management Information Summary reports provide input into this report and must be run during the month-end process before this report is requested.
Certification Due Report/Letters	The report allows the user to print the following: A summary report by clinic of counts of those participants due for subsequent certification. A detail list by participant due for subsequent certification. An official notification document for participants due to have their current enrollment automatically terminated. See Official Notification Document (Output) for a description of this output. Labels for participants due to have their current enrollment automatically terminated. See section Official Notification Address Labels (Output) for a description of this output.

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Standard Reports (Alphabetical)

Report Name	Description
Certification Due Address Labels	Address labels can be generated for all clients who will receive a certification due notice for mailing purposes.
Certification Notice	The report allows the user to print a summary report of participant information at a clinic for use as a Certification Notice document.
Benefit Pickup Report/Letters	The report allows the user to print a report that includes all participants that have failed to pick up their next set(s) of benefits for which they are eligible. The letter will be generated to notify participants that have failed to pick up their next set(s) of benefits for which they are eligible. Within the clinic, one letter is generated per household and is addressed to the lead (oldest) member for the selected participants of the clinic/household. The letter lists all members of the clinic/household who are eligible for more benefits.
Benefit Pickup Letter Address Labels	Address labels may be produced for the lead member of the clinic/household with participants that have failed to pick up their next set(s) of benefits for which they are eligible.
Check State Approval Letter Vendor / Manufacturer	This letter advises the vendor / manufacturer that checks have been approved for resubmission to the bank.
Check State Denial Letter Vendor / Manufacturer	This letter advises the vendor that checks are not approved for payment.
Civil Money Penalty Letter	This letter advises the vendor that the State will impose a civil money penalty for program abuse in lieu of disqualification.
Class Attendance Report	The Class Attendance report allows the user to print all scheduled classes and the participants who attended each class.
Client Address Labels	Address labels can be generated for all clients or for specific clients who fit the criteria defined on the Generate Client Address Labels screen.
Client Summary by Service Type Report	The Client Summary by Service Type report allows the user to print a summary report of services provided to clients at each Clinic.
Clinic Activity Report	The Clinic Activity Report is a summary analysis of the activities that occurred at each WIC clinic

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Standard Reports (Alphabetical)

Report Name	Description
	during a calendar month. It includes information regarding food instruments that were issued, voided and redeemed.
Clinic Detail Calendar	This report allows the user to print the operating days, business hours and appointment types for the selected clinics. The report contains the clinic information by month for the number of months desired starting with the selected month.
Clinic Group Class Calendar	This report allows the user to print the group class schedules for the selected clinics. The report contains the clinic information for the month.
Comparison of Prenatal and Postpartum Certification Report	The Comparison of Prenatal and Postpartum Certification is an analysis of the initial enrollment of women in the WIC program. This report totals the number of women certified as postpartum during the reported period.
Compliance Buy Meeting Letter	This letter advises the vendor that a compliance buy was performed and the vendor is required to meet with the State to address the areas of contract non-compliance.
Compliance Buys to Investigator Letter	This letter provides the compliance buy contractor with detailed information for conducting compliance buys.
Contract/Non-contract Formula Report	The Contract/Non-contract Formula Report lists the number of infant and children participants redeeming food instruments containing formula issued for the reported closeout month. It compares the number of participants with contract andnon-contract formula with breakdowns by formulation (powder/concentrate within milk/soy). The contract/non-contract ready-to-use formulation is combined and shown separately with breakdowns by milk/soy.
Contract Termination Letter - Ownership Change	This letter informs the vendor of the last date to deposit checks and requests the return of vendor stamp due to a change of ownership.
Contract Termination Letter - Store Closing	This letter informs the vendor of the last date to deposit checks and requests the return of vendor stamp due to a store closing.
Contract Termination Letter - Withdrawal from Program	This letter informs the vendor of the last date to deposit checks and requests the return of vendor stamp due to a withdrawal from the WIC Program by the vendor.
Corporate Store List	The Corporate Store List includes the WIC stores owned by a corporation. The user can select

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Standard Reports (Alphabetical)

Report Name	Description
	to include one or all stores owned by the corporation. The user can also select to include one or all corporations in the Vendor system. In addition to selecting which corporations and stores to include, the user can select whether or not to include the redemption history of the store. When redemption history is included, the user can also select the fiscal year for the redemption history.
Cost Containment Certification Spreadsheet	If the State agency elects to authorize above-50-percent vendors this EXCEL spreadsheet can be generated and completed. This EXCEL spreadsheet provides the format necessary to collect vendor cost containment certification information and to demonstrate that the State agency's competitive price criteria and allowable reimbursement levels do not result in average payments per food instrument (by type) to above-50-percent vendors that are higher than average payments per food instrument (by type) to comparable vendors that are not above-50-percent vendors.
CPL Notification Letter - CPL Survey	This letter notifies the vendor that commodity price information must be submitted to the state.
Delayed Blood Work Detail Report	The report allows the user to print a detail report of past blood work for which results have not been received.
Disqualification Notification Letter - Final Notice	This letter is sent after hearing rights have been completed and provides the vendor with specific details of the disqualification dates.
Dual Enrollment Report	The Dual Enrollment report is also generated as part of the month-end process and is available at the state level only. The Dual Enrollment is listing of enrollees who meet selection criteria that indicate there is a possibility that the person is enrolled in the WIC program more than once. The enrollees do not need to be issued a food instrument to be included on this report. When a new enrollee is added or when an existing enrollee's member values change, the system checks for the possibility of dual enrollment for the enrollee. The system reviews all enrollees on the system with a WICID that are or have been in an active certification. If the enrollee shares the following data characteristics with another enrollee, both are included on

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Standard Reports *(Alphabetical)*	
Report Name	*Description*
	the report.
[EBT] EBT Household Reconciliation Report	The EBT Household Reconciliation Report displays a summary of EBT activity that occurred within the Clinic for a particular month or day. In addition to a detail line showing the transaction data for each household, the report will summarize food category totals for each Clinic and the entire State. The Food Instrument Item Detail table will record both positive and negative benefit data transactions and will serve as the basis for this report. The data in this report will be compared to the WIC Activity File to validate the accuracy of the EBT system.
Enrollees by Age and Race/Ethnicity Report	The Enrollees by Age and Race/Ethnicity report contains both individual agency summaries and the state summary. The Enrollees by Age and Race/Ethnicity is an analysis of enrollees who are eligible to receive food instruments within a valid certification period. The report is broken down by categories of Infant, Children and Women. Within the category, the report is broken down by age groups and cross-referenced with race/ethnicity. A total is also printed for all the enrollees in all age groups for each race/ethnicity category. When an enrollee's age changes during the reported month, the enrollee's age at the end of the month is used for this report (i.e. when an enrollee's age changes from 24 to 25 years old during the reported month, the enrollee is counted in the 25 - 29 age group). When the age of the enrollee could place the enrollee in multiple groups, the enrollee will be counted in the higher age group (i.e. an enrollee that is two years old will be counted in the 02-03 years group instead of the 01-02 years group).
Enrollees by County/Municipality Report	The Enrollees by County/Municipality Report CAS001 (Output) consists of counts of enrollees in a valid certification at the time the report is requested.
Enrollment Monthly Report	The Enrollment Monthly report consists of individual clinics, agency summaries and the state summary. The Enrollment Monthly is a month-by-month count of people who are eligible to receive WIC benefits. If an individual is in a valid certification period, he or she is eligible to receive WIC

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Standard Reports (Alphabetical)

Report Name	Description
	benefits and is included in the totals for each month that he or she is eligible. Within each category, totals are accumulated for applicable priorities. If a participant has an unknown priority or a priority that is not valid for their category, the participant is included in the 'Unknown' priority count.
Enrollment Unduplicated - Yearly Report	The Enrollment Unduplicated-Yearly report consists of individual agency summaries and the state summary. The Enrollment Unduplicated-Yearly is a month-by-month count of people who are eligible to receive WIC benefits throughout the reported year. If an individual is in a valid certification period, he or she is eligible to receive WIC benefits. If a participant is eligible to receive WIC benefits during the month of October, he or she is included in the count for October. All participants that become eligible and have not been included in a previous month's count are included in the count for the subsequent month that he or she becomes eligible. Unduplicated means the participant is counted only once during the specified year type.
Establish Vendor Peer Groups Report	This report includes vendors, their square footage, number of cash registers, annual WIC sales, their average redemption value for the selected food instrument type and their current peer group and the average price and average calculated redemption cost for that peer group. It is then up to the user to work with the information on the report, to draw upon information from other reports and to create additional worksheets or spreadsheets to evaluate and establish peer groups. Only vendors that have redeemed the selected food instrument type during the selected reporting month is included on the report.
Estimated Eligible Comparison Reported Participation Report	The Estimated Eligible Comparison Reported Participation is a month-by-month count of participants by priority who were issued at least one food instrument for the reported month. Participants are counted in each month that he or she was issued a food instrument. Issuance is based on the participation date value, not the date the food instrument is printed. Totals are printed by priority for all WIC Category combined. The totals for each WIC Category are also printed. Within the priority totals, high-risk priorities are subtotaled. High-risk

Standard Reports *(Alphabetical)*

Report Name	Description
	priorities are priorities '1', '2' and '3'. If a participant has an unknown priority or a priority that is not valid for their category, the participant is included in the 'Unknown' priority count. The participation count is compared to the amount of estimated eligibles. Estimated eligible counts are available for pregnant women, postpartum women (breastfeeding and non-breastfeeding women combined), infants, and children. Estimated eligible counts are provided by the state on a yearly basis and are a monthly average count of the number of people eligible to be served.
Expiration of Contract Letter	This letter is sent to a currently enrolled vendor who did not apply for the new contract authorization period. The letter advises the vendor not to cash checks as of a specified date and to return the vendor stamp.
Fee for Replacement of Lost Stamp Letter	This letter notifies the vendor that a fee is required for the lost stamp prior to another stamp being issued to the store.
Financial Accounts List Report	The Generate Financial Accounts List Report screen is used to generate a Financial Accounts List report which contains the financial account codes, names, base of data, control breaks, grand total, frequency and distribution.
FNS 798 Statement Spreadsheet	The FNS-798 Statement Spreadsheet contains eight (8) pages which detail federal participation counts; actual outlays; formula rebate worksheet; milk rebate worksheet; infant fruit and vegetable worksheet; infant meat rebate worksheet; juice rebate worksheet; and a cereal rebate worksheet.
Food Distribution Items – Average and Maximum Prices Report	The user may generate the Food Distribution Items - Average and Maximum Prices from the Generate Food Distribution Items - Average and Maximum Prices Report screen. The report is also generated on a monthly basis. The Food Distribution Items - Average and Maximum Prices is a listing of food distribution item codes and peer groups showing average and maximum prices.
Food Instrument Package Cost Report	The Food Instrument Package Cost summarizes the costs associated with food packages using the reported participation method, redeemed participation method, and reconciliation method.

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Standard Reports (Alphabetical)	
Report Name	Description
Food Instrument Reconciliation Exceptions Summary Report	The Food Instrument Reconciliation Exceptions Report FIN015 (Output) is a state summary report of food instrument exceptions.
Food Instrument Reconciliation Summary Report	The Food Instrument Reconciliation Summary is a state summary report of food instruments redeemed in the reported month, food instrument exceptions and compliance-buy food instruments.
Food Instruments Redeemed Early Report	This report will also be generated as part of the month-end process. Food instruments that are redeemed before their participation date are included on this report. This report includes all food instruments redeemed in the requested month that were also redeemed prior to the start of their issuance month. The report does not include paid without issuance (skeleton checks). The issuance month is normally the same month as first-use-date. Food instruments with first-use-date of 12-05-2002 would have an issuance month of "200212".
Food Instruments Redeemed Late Report	This report includes all food instruments redeemed in the requested month that were also redeemed after the end of their issuance month. The report does not include paid without issuance (skeleton checks). The issuance month is normally the same month as first-use-date. Food instruments with first-use-date of 12-05-2002 would have an issuance month of "200212".
Food Instrument Redemption Report	Food instruments are issued and redeemed each month, but the rate of redemption changes over time. The Food Instrument Redemption report tracks these changes by food instrument type.
Food Instrument Type Reference by Quantity Report	A food instrument type value will be assigned to each food instrument when the food instrument is written to the consolidated food instrument master table. The food instrument type represents a unique combination of food items and their associated quantities on the food instrument. The Food Instrument Type Reference by Quantity will list each food instrument type, in sequence by frequency of use, along with the food item ID and quantities for each food printed on the food instrument. All food instrument types are listed, even those that were not issued for the reported month.

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Standard Reports (Alphabetical)	
Report Name	Description
Food Instrument Type Reference by Type Report	A food instrument type value will be assigned to each food instrument when the food instrument is written to the consolidated food instrument master table. The food instrument type represents a unique combination of food items and their associated quantities on the food instrument. The Food Instrument Type Reference by Type will list each food instrument type, in sequence by food instrument type, along with the food item ID and quantities for each food printed on the food instrument. All food instrument types are listed, even those that were not issued for the reported month.
Food Instruments Redeemed within $5.00 of the Maximum Allowed Report	The report includes a listing of all vendors with one or more redeemed food instruments where the paid amount is within $5.00 of the maximum price allowed for that food instrument type.
Food Instruments Redeemed within 85% of the Maximum Allowed Report	The report includes a listing of all vendors with one or more redeemed food instruments where the paid amount is equal to or greater than 85% of the maximum price allowed for that food instrument type.
Food Instruments Rejected for Payment Report	The Food Instruments Rejected for Payment is a listing of the food instruments that were rejected for payment by the banking agent during the reported month.
Food Obligations and Expenditures Report	30-day Status Report The Food Obligations and Expenditures - 30 Day Status Report FIN003 (Output) consists of individual clinic summaries, agency summaries, and the state summary. Closeout Month Report The Food Obligations and Expenditures - Closeout Month Report FIN002 (Output) report consists of individual clinic summaries, agency summaries, and the state summary. Issue Month Report The Food Obligations and Expenditures - Issue Month Report FIN004 (Output) consists of individual clinic summaries, agency summaries, and the state summary.
Food Prescriptions Report	The Food Prescriptions helps to determine if the food instruments are being tailored or if state recommendations are being issued. The report includes the top ten food prescriptions issued

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Standard Reports *(Alphabetical)*	
Report Name	*Description*
	for each WIC Category for the reported quarter and a count of the number of participants issued the food prescriptions. The state total will include the top ten food prescriptions and unduplicated count for the state for each WIC Category for the reported quarter.
Food Sales Calculator Report	The Generate Food Sales Calculator Spreadsheet is displayed when the user selects the Food Sales Calculator Spreadsheet list item from the Reports data grid in the Generate Reports screen.
Formula Compliance Report	The Formula Compliance Formula Compliance Report lists the number of infant and children participants redeeming food instruments containing formula issued for the reported closeout month. It compares the number of participants with contract, non-contract or special formula types with breakdowns by formulation (milk/soy and powder/concentrate/ready-to-use).
Formula Supplementation of Breastfed Infants Report	The Formula Supplementation of Breastfed Infants is an analysis of the amount of formula used by infants. All infants eligible to receive food instruments are included in the report (i.e. all certified infants). A count and percentage is calculated for each of the groupings.
Formula Usage Report	The Formula Usage Report is generated to show how formula is being used throughout the state.
Fruits and Vegetables Check Redemption Analysis by Peer Group	The Fruits and Vegetables Check Redemption Analysis by Peer Group VND064 (Output) report is a summary of vendor activity for fruit/vegetable checks for the reported month. The report tracks the number and dollar amount of the fruit/vegetable redemptions by peer group and compares activity. The report runs as a part of the month end process when the state business rule MONTHEND_INCL_STATE_DEFINED_RPTS equals 'Y'. This report is defined as a Minnesota specific report.
Vegetables Check Redemption Analysis by Vendor	The Fruits and Vegetables Check Redemption Analysis by Vendor VND063 (Output) report is a summary of vendor activity for fruit/vegetable checks for the reported month. The report tracks the number and dollar amount of the fruit/vegetable redemptions by vendor and compares activity for vendors within the same county. The report also helps to identify vendors who may be in violation of redemption rules. The report runs as a part of the month end process when the state business rule MONTHEND_INCL_STATE_DEFINED_RPTS equals

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Standard Reports *(Alphabetical)*

Report Name	Description
	'Y'. This report is defined as a Minnesota specific report.
Fund Budget Spreadsheet	This report provides information similar to what is reported on a Flexible Budget Performance Report. Only journal entries allocated to the specified Budget Operating Codes are included.
Fund Management Summary Report	Only journal entries allocated to the specified Budget Accounts are included. It summarizes funding information by fund classifications.
Goal Setting Report	The Goal Setting summarizes the number of education contacts with a specified goal and the result documented for the goal. The report will review goals set for participants whose certification end date is within the reported half-year. Participants that are terminated before the end of their certification are not included.
Group Class Roster	The Group Class Roster allows the user to print all participants who are enrolled in a group education class.
High Cost Food Instruments Report	The High Cost Food Instruments lists food instruments that are redeemed for an amount that is within the state defined percentage of the maximum value of the food instrument type for the peer group. The purpose of the report is to provide the State with information used to identify potential overcharging errors or redemption of non-eligible food items.
High Cost Vendor Summary by Food Instrument Type Report	The High Cost Vendor Summary by Food Instrument Type identifies high priced vendors within each peer group. The report is also generated as part of the month-end process and is available at the state level only.
High Cost Vendor Summary by Vendor Report	The High Cost Vendor Summary by Vendor identifies high priced vendors within each peer group. During the End of Month processing, vendors that are included on the report are also flagged with the high cost average indicator on the High Risk report. The report is also generated as part of the month-end process and is available at the state level only.
High Risk Report	The High Risk report is a monthly list of Vendors considered a high risk during the month and year specified by the user. This report is used to provide quarterly and annual data, to identify Vendors for compliance buys, and to provide information for hearings.
How Clients Heard about WIC Report	The report will allow the user to print a summary report of referral sources as to how the client

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Standard Reports *(Alphabetical)*	
Report Name	*Description*
	was referred to WIC.
Income Eligibility Report	The Income Eligibility report shows what income eligibility groups are being served throughout the state.
Income Guidelines Report	The Income Guidelines Report lists the WIC income eligibility guidelines for the selected fiscal year.
Ineligibility Notices	This document is generated for the participant when they are determined ineligible to receive WIC benefits.
Ineligibility Notice Address Labels	Address labels may be produced for all clients who will receive an ineligibility notice for mailing purposes.
Ineligibility Summary Report	The Ineligibility Summary report allows the user to print a summary report of participants who are deemed ineligible for WIC services during a certification attempt.
Initial Certification Process Report	The Initial Certification Processing Standards report allows the user to print all applicants of a specified WIC Category or specified WIC categories who were scheduled to attend an initial certification appointment during a specified Date Range.
Interactive Training Letter	This letter invites vendors to attend an interactive training session to learn about participation in WIC.
Interim Application Letter	This letter is sent to waiting list vendors, or vendors who request applications that are located in areas that have no vendors or an insufficient number of vendors; this letter is used after the start of a contract period.
Kept vs. Missed Appointments Report	The Kept vs. Missed Appointments report allows the user to view the number of appointments kept versus missed per appointment type. This information is useful in determining the number of appointments to define for the search function of appointment scheduling.
Large Number of FI Redeemed Outside of Area Report	The Large Number of FI Redeemed Outside of Area lists all food instruments that are redeemed for an amount that is within the state defined percentage of the maximum value of the food instrument type for the peer group. The purpose of the report is to provide the State with information used to identify potential overcharging errors or redemption of non-eligible food

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Standard Reports (Alphabetical)

Report Name	Description
	items. The report is also generated as part of the month-end process and is available at the state level only.
List of Dual Participation Cases Report	This report is a listing of participants who meet selection criteria that indicates there is a possibility of food instruments being redeemed from multiple service sites by the same participant using different WIC IDs. The month-end process will identify the potential dual participation cases.
List of Items Paid without Issuance Report	The List of Items Paid without Issuance is a listing of food instruments paid without a record of issuance within system.
Low Variance Vendor Summary Report	The Low Variance Vendor Summary is used to identify vendors who may be engaged in price fixing or have inadequate stock to allow normal brand selection by participants. The report is based upon the theory that there is a normal distribution of redemption prices on the same food instrument type because different participants will select different combinations of brands for the same food items, each having different prices. Therefore, if the vendor has adequate stock and is charging the actual shelf prices, there is a fairly wide range of redemption prices.
Mailing Labels	This particular report is accessed via the Vendor module. The Mailing Label is to be used for mailing correspondences to the Vendor.
Make-up Training for New Vendors Letter	This letter advises newly authorized vendors of the required training and provides a schedule of make-up training dates and times.
Print Master Calendar	The Print Master Calendar screen allows the user to print to the default printer a report containing the operating days for all clinics in the local agency. The report contains the operating days by month for the number of months desired starting with the selected month.
Maximum Reimbursement Amount Spreadsheet	This spreadsheet shows the food instrument type and the latest Price in effect for the month. The food instrument type may be entered on the screen or taken from the paid food instrument serial number entered on the screen. If the food instrument type was entered on the screen, the latest price in effect for the month is based on the month and year selected. If

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Standard Reports *(Alphabetical)*

Report Name	Description
	food instrument serial number was entered on the screen the food instrument type is taken from the paid food instrument using the serial number and then the latest price in effect for the month is based on the month and year of the food instrument paid date month and year.
Medicaid Adjunctive Eligibility Report	The Medicaid Adjunctive Eligibility is an analysis of completed certifications and Medicaid certifications within the specified date ranges. The report is by Agency, service site, and category. Additional age group attributes are included to give a total for the number of children 1 to 2 years old, children 2 to 3 years old, children 3 to 4 years old, and children 4 to 5 years old. A total for Completed Certifications, Medicaid Certifications, and percent of Medicaid Certifications to Completed Certifications is printed for each Agency and service site. The report will print from the temporary table, Medicaid-Adjunctive, that will be created with records that meet the selection criteria.
Migrant Enrollment Report	The Migrant Enrollment is a count of migrants enrolled in the WIC program during the reported month. A person is considered enrolled in the program if he or she is eligible to receive WIC benefits (i.e. they are in a valid certification period). A person is considered migrant if he or she is a member of a household where the migrant flag is the value 'Y' at the time the month-end process for the reported month is run.
Migrant Participation Report	The Migrant Participation is a count of migrants participating in the WIC program during the reported month. A person is considered migrant if he or she is a member of a household where the migrant flag is the value 'Y' at the time the month-end process for the reported month is run. A person is considered participating in the program if they were issued at least one food instrument during the report period.
Minority Health Disparity Survey Report	The Minority Health Disparity Survey is a summary of records that fall within the Fiscal year selected from the Caseload-Count-Undup-Federal table. The report is broken into totals by Minority codes, showing a count for women and a count for infants and children. The Minority codes that have counts accumulated for them are defined in the program to be: 20-African American/Black, 40-American Indian/Alaskan Native, 60 or 70-Asian American, 30 through 38-Hispanic/Latino, 50-Native Hawaiian/Pacific Islander, 88-Other and 99 or blank-

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Standard Reports (Alphabetical)	
Report Name	Description
	Unknown. There will also be a 'Total' count. The report will show totals by Agency and there will another total at the end of the report for the State.
Missed Appointment Notices	This document can be generated to notify a client of an appointment that she has failed to attend.
Missed Appointment Notice Address Labels	Address labels can be generated for all clients who will receive a missed appointment notice for mailing purposes.
Missed Appointment Follow-up Report	The Generate Missed Appointments Follow-up report allows the user to print all applicants who missed their scheduled appointment during the given date range. If the state business rule DSP_CLASSES_IN_MISSED_APT_FOLLWUP ="Y" the report also includes unattended nutrition education classes.
Monthly Redemption Unduplicated Report	The Monthly Redemption Unduplicated is a month-by-month count of participants who redeemed at least one food instrument that was issued in the reported month. Participants are counted in each month that he or she redeemed a food instrument that was issued in the reported month. Issuance is based on the participation date value, not the date the food instrument is printed. A redeemed food instrument is a food instrument presented for payment. Participants are included in the count even if the bank rejected all redeemed food instruments. Within each category, totals are accumulated for applicable priorities. If a participant has an unknown priority or a priority that is not valid for their category, the participant is included in the 'Unknown' priority count.
Monthly State Registration Listing	The Monthly State Registration Listing includes all vendors enrolled, terminated or disqualified during the month and year specified by the user.
Monthly Termination Report	The Monthly Termination is a summary analysis of reasons enrollees were terminated from the WIC program. Participants are included in the report for the month that the termination occurred and are grouped by their category at the time of the termination. The totals do not include enrollees that are categorically ineligible. The Monthly Termination Detail is a detail analysis of reasons enrollees were terminated from

Standard Reports (Alphabetical)	
Report Name	**Description**
	the WIC program. Participants are included in the report for the month that the termination occurred and are grouped by their category at the time of the termination. The totals do not include enrollees that are categorically ineligible.
Multiple-use Breastpump Detail Listing	The Multiple-use Breastpump Detail Listing lists each multiple-use breastpump that is in the agency and clinic inventory.
Multiple-use Breastpumps Pending Receipt Report	The Multiple-use Breastpumps Pending Receipt Report is an exception report. A line will be printed for every outstanding multiple-use breastpump order.
Multi-purpose Affidavit Form	The Multi-purpose Affidavit form allows the user to print a multi-purpose affidavit form at a clinic.
Natural Accounts List Report	This report displays a list of natural accounts.
Newly Enrolled Pregnant Women by Trimester Detail Report	The Newly Enrolled Pregnant Women by Trimester Detail is an analysis of the number (and percentage) of newly enrolled pregnant women who enrolled in their first, second, or third trimesters by race/ethnicity for the reported period. A woman is considered enrolled in the program when she is eligible to receive WIC benefits (i.e. she becomes certified). Only participants who were certified for the first time for the reported period are included in the totals.
Newly Enrolled Pregnant Women by Trimester Summary Report	The Newly Enrolled Pregnant Women by Trimester Summary is a summary by trimester of the number (and percentage) of newly enrolled pregnant women who enrolled in their first, second, or third trimesters by race/ethnicity for the reported period. A woman is considered enrolled in the program when she is eligible to receive WIC benefits (i.e. she becomes certified). Only participants who were certified for the first time for the reported period are included in the totals.
New Vendor Training Letter	This letter advises newly authorized vendors of the required training schedule.
Non-participation Reason by Category Report	The Non-participation Reason by Category is a summary analysis of reasons enrollees were terminated from the WIC program. Participants are included in the report for the month that the termination occurred and are grouped by their category at the time of the

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Standard Reports *(Alphabetical)*

Report Name	Description
	termination. The totals do not include enrollees that are categorically ineligible.
Non-participation Reminder Notices	This document may be generated and mailed to clients who have had a current enrollment terminated by automatic means.
No Show Report	The No Show report allows the user to print the no show rate for the selected Clinics. The report contains the Clinic information for each day for the month for the number of months desired starting with the selected month.
Notification to Food Stamps Letter	This letter is sent to Food Stamps advising them of vendors disqualified from WIC for one of the 7 WIC/Food Stamps reciprocal abuses.
Number of Participants Issued Food Instruments Report	The Number of Participants Issued Food Instruments report is a month-by-month count of people who have been given a food instrument with a first date to use in that reported month.
Nutrition Education Contacts Report	The Nutrition Education Contact contains Nutrition Education Contact Types by Agency and Clinic. Totals by contact type will be accumulated for participants with a valid certification within the reporting period and who have not been terminated. Participants will be grouped, within nutrition education contact type, based on their WIC Category at the time of the certification. Totals breaks will be by Agency, Clinic and State.
Nutritional Risk Factors at Certification by Category Report	The Nutritional Risk Factors at Certification by Category provides a total count of the risk factors assigned during the certification process for the reported quarter. Participants certified with more than one risk factor will be included in the count for each of the risk factors assigned. The risk factors are accumulated by WIC Category and race/ethnicity.
Obligation Value for Outstanding Food Instruments Issued Report	The Obligation Value for Outstanding FIs Issued report consists of individual clinic, agency and the state summary analysis of the disposition of food instruments.
Official Notification	The Generate Official Notification screen is used to generate an official notification of termination for the current client.
One to One Reconciliation Report	The One to One Reconciliation report is a report of the individual status of redeemed food

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Standard Reports (Alphabetical)

Report Name	Description
	instruments and a summary of the number of redeemed food instruments and number per status.
Onsite Letter	This letter advises the vendor that a store visit was performed and that the store is in compliance.
Onsite Warning Letter	This letter provides the vendor with the specific abuses and corresponding sanction points found during a visit to the store, and requires the vendor to schedule a meeting if the accumulated sanction points are six or greater.
Outreach Listing Report	The report is a detail report of state outreach agencies.
Outstanding Applications Report	The Outstanding Applications report lists the Vendor applications that have not been approved, denied or added to the Waiting List. A Vendor is included in this report if the current status of the Vendor is Applicant. Also included in The report is Vendor applications from current Vendors who are reapplying.
Overcharges Report	The user may generate the Overcharges Report from the Generate Overcharges Report screen. The report includes a listing of all vendors and their food instruments redeemed for an amount higher than 10% over the vendor average price.
Participant Appointment Schedule	The Participant Appointment Schedule report allows the user to print a report that contains the upcoming appointments and group education classes for the participant or all members of their household.
Participant High Risk Report	The Participant High Risk report consists of data for individual clinics, agency summaries and the state summary. The clinic report includes participant information for high risk participants in a valid certification during the reported month. Participants are grouped as those with a future appointment and those without a future appointment. The appointment does not have to be at the agency/clinic that the participant is currently assigned to. The agency reports is a one-line summary for each clinic within the agency listing counts of high risk participants in a valid certification during the reported month with and without future appointments plus a line for

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Standard Reports (Alphabetical)	
Report Name	Description
	the agency totals. The State report includes an agency report for each agency plus a one-line total for the state.
Participant Insurance Type Report	The Participant Insurance Type is a state level report that shows the insurance types and medical home types by county that WIC enrollees have reported during the reported month. A person is considered enrolled in the program if he or she is eligible to receive WIC benefits. Participants are grouped based on their category as of the end of the reported month.
Participant Insurance Type Reports	Participant Insurance Type reports examine the types of insurance indicated by participants during certification/subsequent certification. Possible insurance types include but are not limited to; commercial insurance, HMO-Private, Medicaid, Medicaid/Managed Care, none, other, and unknown.
Participation by Priority/Category/Ethnicity Group Report	The Participation by Priority/Category/Ethnicity Group is count of participants who were issued a food instrument within the selected reporting period.
Participation Processing Statistics Report	The Participation Processing Statistics is a statistical summary of enrollment totals, reported participation and redeemed participation.
Participation vs. Enrollment Monthly Report	The Participation vs. Enrollment monthly report displays the total number of participants participating, total number of participants enrolled, and the percentage of enrolled who are participating for all WIC categories and then again for each individual WIC category (i.e. infant, child, pregnant, breastfeeding, non-breastfeeding). The report includes data for the month requested, the month prior, and two months prior. The status of the months at the time the report is requested is also printed as part of the heading. The status of the months is determined by the CurrentMonthEndDt, PriorMonthEndDt, and CloseMonthEndDt columns of the ProcessControl table. The status will be one of the following: Issd, 30Dy, or C/O.
PC20XX File	The PC20XX Output File is an ASCII text file in a fixed-width format. The data elements required are detailed in Guidance for States Providing WIC Participant Data, WIC Participant and Program Characteristics PC2004 documentation as published by US Department of

Standard Reports *(Alphabetical)*	
Report Name	*Description*
	Agriculture, Food and Nutrition Service.
Peer Counselor Breastfeeding Contact Report	The Peer Counselor Breastfeeding Contact Report summarizes the types of contacts that each peer counselor made during a given date range.
Peer Counselor Prenatal Contact Report	The Peer Counselor Prenatal Contact Report summarizes the types of contacts that each peer counselor made during a given date range.
Peer Group Prices Report	The Peer Group Prices report lists all items, descriptions, average prices, override prices, and max prices for the Peer Group selected.
Pending Certifications Report	The Pending Certifications report allows the user to print a report containing participants that have an incomplete certification.
Percent of Increase in Food Instruments over Previous Months Redemptions Report	The user may generate the Percent of Increase in Food Instruments over Previous Months Redemptions Report from the Generate Percent of Increase in Food Instruments over Previous Months Redemptions Report screen. The report includes a listing of all vendors whose count of food instruments redeemed for the selected month was at least 15.0 % higher than the previous month.
Prenatals Pending Peer Counselor Contact Report	The Prenatals Pending Peer Counselor Contact Report includes all Pregnant participants who have not been contacted by a breastfeeding peer counselor and their expected delivery date falls within the given date range.
Prepayment Edit Cost Savings Report	The Pre-payment Edit Cost Savings lists all food instruments that are redeemed for an amount that is within the state defined percentage of the maximum value of the food instrument type for the peer group. The purpose of the report is to provide the State with information used to identify potential overcharging errors or redemption of non-eligible food items on paid food instruments. This report is based on Paid FI only. The rejected FI are reported under the financial management reports for food instruments rejected.
Prescription Formula Request Form	This form allows the user to print a prescription formula request document at a clinic.
Proxy Form	This form allows the user to print a proxy verification document at a Clinic.

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Standard Reports *(Alphabetical)*

Report Name	Description
Queued Appointment Notices	The Generate Queued Appointment Notices screen is used to generate appointment notices that users decided to print at a later time instead of choosing to print the notice when the appointment was scheduled.
Random Food Instrument Sample Report	The user may generate the Random Food Instrument Sample Report from the Generate Random Food Instrument Sample Report screen. The report includes a subset list of food instruments redeemed within the selected month.
Ranking of Vendors by Number of Benefits Redeemed Report	The Ranking of Vendors by Number of Benefits Redeemed report lists Vendors ranked from high to low by the number of benefits redeemed by the Vendor within the user-specified month and year. The Vendors are ranked within their peer group.
Ranking of Vendors by Value of Benefits Redeemed Report	The Ranking of Vendors by Value of Benefits Redeemed report lists Vendors ranked from high to low by the value of the benefits redeemed by the Vendor within the user-specified month and year. The Vendors are ranked within their peer group.
Rebate Invoice and Cover Letter	A cover page or summation letter is also generated merging the number of breastfed infants and number of non-breastfed infants variables recorded on the print and reprint rebate invoice screens.
Rebate Projection Worksheet Report	The Rebate Projection Worksheet Report generates an Excel spreadsheet to use as a tool to develop scenarios and estimate, compare and project potential rebates and additional opportunities.
Redeemed Food Instruments/Expenditures Report	The Redeemed Food Instruments/Expenditures summarizes the redemption and disposition of food instruments for the reported month.
Redeemed Participation High-risk Priority Goal Report	The Redeemed Participation High Risk Priority Goal is a month-by-month count of priority one and two participants who redeemed at least one food instrument that was issued in the reported month. Participants are counted in each month that he or she redeemed a food instrument that was issued in the reported month. Issuance is based on the participation date value, not the date the food instrument is printed. A redeemed food instrument is a food instrument presented for payment. Participants are included in the count even if the bank rejected all redeemed food instruments.

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Standard Reports (Alphabetical)

Report Name	Description
Redeemed Participation Priority Summary Report	The Redeemed Participation Priority Summary is a month-by-month count of participants by priority who redeemed at least one food instrument that was issued in the reported month. Participants are counted in each month that he or she redeemed a food instrument that was issued in the reported month. Issuance is based on the participation date value, not the date the food instrument is printed. A redeemed food instrument is a food instrument presented for payment. Participants are included in the count even if the bank rejected all redeemed food instruments.
Redeemed Participation Unduplicated - Yearly Report	The Redeemed Participation Unduplicated-Yearly is a month-by-month count of participants who received WIC benefits and redeemed at least one food instrument throughout the reported year. If a participant was issued a food instrument during the month of October and redeemed that food instrument, he or she is included in the count for October. All participants that had not been included in a previous month's count are included in the count for subsequent months for the month that he or she was first issued a food instrument and redeemed the food instrument. Unduplicated means the participant is counted only once during the specified year type.
Redeemed Participation WIC - Monthly Unduplicated Report	The Redeemed Participation WIC – Monthly Unduplicated report is a month-by-month count of people who were issued at least one WIC food instrument for the reported month and at least one of those WIC food instruments was presented for payment. Participants are counted in each month that they are issued a food instrument. Issuance is based on the participation date value, not the date the food instrument is printed. Food instruments are considered presented for payment when either payment data is processed or the banking agent rejects the food instrument for payment.
Redemption Change Report	The Redemption Change lists all food instruments that are redeemed for an amount that is outside the state defined percentage of the maximum value of the food instrument type for the peer group. The purpose of the report is to provide the State with information used to identify potential overcharging errors or redemption of non-eligible food items. The report is also generated as part of the month-end process and is available at the state level

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Standard Reports (Alphabetical)	
Report Name	**Description**
	only.
Referrals from WIC to Outside Agencies Report	The report will allow the user to print a summary report of referral sources as to whom the participant was referred for services.
Referrals Report	The Referrals report allows the user to view the number of clients referred to agencies outside of WIC per Clinic.
Reported Participation High-Risk Outreach Report	The Reported Participation High-Risk Outreach is a month-by-month count of high-risk participants who were issued at least one food instrument. High-risk participants are those issued a food instrument with a priority value of '1', '2' or '3'. Participants are counted in each month that they were issued a high-risk food instrument. Issuance is based on the participation date value, not the date the food instrument is printed.
Reported Participation Monthly Report	The Reported Participation Monthly is a month-by-month count of participants who were issued at least one food instrument. Participants are counted in each month that they are issued a food instrument. Issuance is based on the participation date value, not the date the food instrument is printed. Within each category, totals are accumulated for applicable priorities. If a participant has an unknown priority or a priority that is not valid for their category, the participant is included in the 'Unknown' priority count.
Reported Participation Unduplicated - Yearly Report	The Reported Participation Unduplicated-Yearly is a month-by-month count of participants who received WIC benefits throughout the reported year. If a participant was issued a food instrument during the month of October, he or she is included in the count for October. All participants that were issued food instruments and had not been included in a previous month's count are included in the count for subsequent months for the month that he or she was first issued a food instrument. Unduplicated means the participant is counted only once during the specified year type.
Reported Participation versus Caseload Assigned Report	The Reported Participation Versus Caseload Assigned report is a monthly count of reported participation for each county and municipality.

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Standard Reports (Alphabetical)

Report Name	Description
Reported Participation WIC - Monthly Unduplicated Report	The Reported Participation WIC – Monthly Unduplicated report is a month-by-month count of people who were issued at least one WIC food instrument for the reported month. Participants are counted in each month that they are issued a food instrument. Issuance is based on the participation date value, not the date the food instrument is printed.
Rescheduled Appointment Notice	This document will be generated to notify the client of an appointment that has been rescheduled. The appointment notice can be handed to the client at the time the appointment is made if the client is present, or it can be produced at a later time and mailed to the client.
Routine Monitoring Schedule	The Routine Monitoring Schedule Report lists vendors selected for routine monitoring visit. The Vendors included in the report are randomly selected from all Vendors that are currently enrolled and active in the Vendor system. The number of Vendors to include in the report is selected by the user as a percentage of the total number of Vendors that are currently enrolled and active in the Vendor system.
Selected Vendors by County Report	The report lists the selected vendors by County with redemption history for the selected fiscal year.
Single-use Breastpumps Pending Receipt Report	The Single-use Breastpumps Pending Receipt report is an exception report. A line will be printed for every outstanding single-use breastpump order. Outstanding single-use breastpump orders are those orders that have an order request status of either "Approved/Confirmed Order" (no receipt yet) or "Partial Receipt Pending" (only partially received).
Small Volume Vendors Report	The Small Volume Vendors lists all vendors that had redemptions from fewer than the state-defined minimum number of different participants during the report month. The purpose of the report is to identify low volume vendors that may not be needed on the program. If a vendor changes peer groups within a reported month, the vendor appears on the report under both groups. The total number of vendors includes the vendor twice. The report is also generated as part of the month-end process and is available at the state level only.

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Standard Reports (Alphabetical)	
Report Name	Description
Special Formula Prescription Expiration Date Report	The Special Formula Prescription Expiration Date report lists the special formula prescriptions that are expiring within a specified time range.
Special Formula Report	The Special Formula report is a state level report that shows the total number of participants that have been issued special formula food items. All participants that are in a valid certification period and were issued special formula during the reported month are included in the report. If a participant is issued multiple types of special formula, the participant is counted in the total for each type of special formula. A participant can be counted more than once.
Training Letter - Individualized	This letter advises the vendor that they are required to attend an individual meeting with the state staff to discuss and resolve problems that have been identified.
Staff Activity Report	The Staff Activity report is a summary of Clinic Staff activity for the selected month. A task row is added to the StaffTask table each time a clinic staff member performs a task. The tasks are recorded with statistical information identifying the staff member, task type, clinic, date and time. Totals for this report are calculated using this statistical information.
Statewide Education Summary	The Statewide Education Summary summarizes the compliance versus non-compliance counts for those participants whose certification end date is within the reported quarter. Participants that are terminated before the end of their certification are not included in the totals. Participants are grouped based on their category at the time of the certification.
Supplier Rebate Report	This report will also be generated as part of the month-end process. When selecting the report from the generate screen, only one supplier is included in the report. When the report is generated during the month-end process, all suppliers are included.
Survey Results Report	The Survey Results report summarizes client opinions on various aspects of WIC operations to aid WIC staff in evaluating and improving WIC services.
System Access Logon Report	This report allows the user to print a detail report of system access by All Staff members or by individual staff members in the SPIRIT system.
The Integrity Profile (TIP)	The annual TIP report, which provides vendor characteristics, training, compliance activities,

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Standard Reports *(Alphabetical)*	
Report Name	*Description*
	and sanctions.
Termination Notices	The Generate Termination Notices screen is used to generate Termination notices for clients whose participation in the local WIC program has been terminated.
Unduplicated Enrollment - Yearly (Calendar Year) Report	The Unduplicated Enrollment is a month-by-month comparison of active enrollees and participants served. A cumulative total is also provided. Only state totals are printed. Unduplicated means the participant is counted only once during the specified year type.
Unduplicated Enrollment - Yearly (Federal Fiscal Year) Report	The Unduplicated Enrollment is a month-by-month comparison of active enrollees and participants served. A cumulative total is also provided. Only state totals are printed. Unduplicated means the participant is counted only once during the specified year type.
Unduplicated Enrollment - Yearly (State Fiscal Year) Report	The Unduplicated Enrollment report is a month-by-month comparison of active enrollees and participants served. A cumulative total is also provided. Only state totals are printed. Unduplicated means the participant is counted only once during the specified year type.
Upcoming Appointments Report	The Upcoming Appointments report allows the user to print a report of the upcoming appointments during a specified date range.
Upcoming High Risk Appointments Report	The Upcoming High Risk Appointments report allows the user to print a report of the upcoming appointments with clients who are classified as high risk.
Vaccine Coverage Report	The report allows the user to print a report of the current immunization history for the client.
Vendor Activity Summary Report	The user may generate the Vendor Activity Summary Report from the Generate Vendor Activity Summary Report screen. The report includes history and informational data for all vendors with redemption activity within the current fiscal year.
Vendor Complaint Report	The Vendor Complaint Report lists Vendors who had a complaint filed against them during the selected date range.
Vendor Error Analysis Report	The user may generate the Vendor Error Analysis Report from the Generate Vendor Error

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Standard Reports (Alphabetical)	
Report Name	**Description**
	Analysis Report screen. The report includes a listing of all vendors with food instruments rejected for payment during the selected month. The text associated with the reject reason codes is based on table input for each individual state.
Vendor Form Letters	Vendor Form Letters are letters associated with a specific Vendor that are generated by the Vendor system, either automatically or upon user request.
Vendor Listing - Alphabetic by Vendor Name Report	The user may generate the Vendor Listing - Alphabetic by Vendor Name Report from the Generate Vendor Listing - Alphabetic by Vendor Name Report screen. The report includes a listing of all vendors on the system
Vendor Listing - Numeric by Vendor ID Report	The user may generate the Vendor Listing - Numeric by Vendor ID Report from the Generate Vendor Listing - Numeric by Vendor ID Report screen. The report includes a listing of all vendors on the system
Vendor Monitoring Report	The Vendor Monitoring Report lists all vendors who have had any type of monitoring visit during the selected date range.
Vendor New Stamp Letter	This letter is sent with the first stamp issued to the vendor.
Vendor Profile Report	The user may generate the Vendor Profile report from the Vendor Folder, Demographics tab. The Vendor Profile report is a summary of Vendor data including Redemption History and Event / Follow-up Activity information for the selected time period.
Vendor Price Survey Letter	This letter advises authorized vendors that the vendor price survey is due.
Vendor Registration Terminated Vendors Report	The Vendor Registration Terminated Vendors report lists all terminated vendors in each Agency or lists a single newly terminated vendor. This report is generated on demand from the Generate Vendor Registration Terminated Vendors Report screen.
Vendor Replacement Stamp Letter	This letter is sent with replacement stamps issued to the vendor.
Vendor Summary by Peer Group Report	The user may generate the Vendor Summary by Peer Group report from the Generate Vendor Summary by Peer Group screen. The Vendor Summary by Peer Group is a summary of food instruments redeemed during the month selected and is totaled by peer group.
Vendor Summary by Vendor Report	The user may generate the Vendor Summary by Vendor report from the Generate Vendor

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Standard Reports (Alphabetical)

Report Name	Description
	Summary by Vendor screen. The Vendor Summary by Vendor is a summary of food instruments redeemed during the month selected. If the detail level for state summary is not selected, the food instruments are grouped by peer group, vendor, agency, and food instrument type. If the detail level for state summary is selected, the food instruments are grouped by peer group, vendor and food instrument type. If the billable amount for the vendor is a positive number, the state bills the vendor for that amount.
Vendor to Participant Ratio Report	This report shows the percentage of the participants redeeming food instruments at vendor outlets within a city and zip code during the month selected.
Vendor Training History Report	The Vendor Training History report lists training sessions attended by a Vendor during the date range specified by the user.
Vendors Whose Average Food Package Cost is More Than 10% Above Peer Group Average Report	The Generate Vendors Whose Average Food Package Cost is More Than 10% Above Peer Group Average Report screen is used to generate a Vendors Whose Average Food Package Cost is More Than 10% Above Peer Group Average report.
Vendors with 15 or More Sanction Points Report	The Vendors with 15 or More Sanction Points report lists the Vendors that have accumulated 15 or more Sanction Points.
Vendors with No Activity Report	The user may generate the Vendors with No Activity report from the Generate Reports screen. The Vendors with No Activity report lists vendors with no check/food instrument activity for a given date range.
Vendors with No On-site Visits in Last 18 Months Report	The user may generate the Vendors with No On-site Visits in Last 18 Months Report from the Generate Vendors with No On-site Visits Last 18 Months Report screen. The report includes all active vendors without an on-site visit within the past 18 months.
Vendors with No Redemptions in Last 90 Days Report	The user may generate the Vendors with No Redemptions in Last 90 Days Report from the Generate Vendors with No Redemptions in Last 90 Days Report screen. The report includes all active vendors with no redeemed food instruments during the last three months. Vendors that have been on the system less than three months are not included. The reported month comes from the month value selected by the user.

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Standard Reports (Alphabetical)	
Report Name	Description
Vendors with Pending Price Lists Report	The Vendors with Pending Price Lists Report lists all vendors who were sent a request for an updated price list during the specified date range but did not send their updated price list.
Vendors without Monitoring Visits Report	The Vendors without Monitoring Visits Report lists all vendors who have compliance activity during the specified date range but do not have a routine monitoring visit recorded within the specified number of days.
Violation Report Summary	The Violation Summary Report lists all vendors that received sanction points from violations during the selected date range.
VOC Document	The report allows the user to print a summary report of participant information at a Clinic for use as a Verification of Certification (VOC) document.
Voided Food Instruments Report	The Voided Food Instruments is a summary count of the food instruments that were voided during the reporting period. A total is provided for each void reason. This report will also be generated as part of the month-end process.
Voided/Stolen/Lost and Cashed Exceptions Report	The Voided/Stolen/Lost and Cashed Exceptions is a listing of food instruments that were voided or stolen/lost and also cashed.
Waiting Letter	This letter is sent to Vendors who request applications for the WIC program, but are put on the waiting list.
Waiting List Activation Notices	The Waiting List Activation notice can be produced and mailed to the client who has been activated to WIC services from the Waiting List.
Waiting List Notice	This document allows the user to produce a notification to be mailed to the client who has been added to the Waiting List for WIC services.
Waiting List Summary Report	The report will allow the user to print a summary report of participants who are on the Waiting List for WIC participation.
WIC Closeout Summary Report	The WIC Closeout Summary Report reflects the final disposition (status) of checks so that the final bank reconciliation can be completed. The report also provides a summary by WIC category showing a count of checks redeemed; the value of the redeemed checks, and the

Standard Reports (Alphabetical)	
Report Name	**Description**
	average value per check.
WIC Reported Participation (per FNS-798) Report	The FNS 798 WIC annual reported participation report is a month-by-month count of participants who were issued at least one food instrument. Participants are counted in each month that they are issued a food instrument. Issuance is based on the participation date value, not the date the food instrument is printed. Totals are accumulated for the Federal fiscal year beginning in October.
Year-to-date Participation and Outlays Report	The Year-to-date Participation and Outlays report is a month-by-month count of participants and total of outlays for participants who were issued at least one food instrument. Participants are counted in each month that they are issued a food instrument. Issuance is based on the participation date value, not the date the food instrument is printed. Totals are accumulated for the Federal fiscal year beginning in October.

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4.12.2 Generate Ad Hoc Queries and Generate Reports

4.12.2.1 Conduct Ad Hoc Queries and Generate Reports

Sometimes WIC Program staff members need specific information that does not exist in a usable format in any standard report. The analysis required to generate such information may entail the synthesis of data elements that are not typically associated with each other. Such information gathering often must be customized to the needs of a particular individual or organization at a specific point in time. Such requests generally are needed only once and usually do not recur over time. The most effective approach to meeting these "on demand" reporting requirements is through an ad hoc reporting tool. Therefore, the system enables the user to perform ad hoc reporting.

The ad hoc reporting capability allows the requestor to enter query parameters, which are then used to select and retrieve only the data that meet the specified criteria. The user can also enter parameters to control the formatting of the data on the resulting report.

The ad hoc reporting tool provides the capability for the user to enter selection parameters that would be used to retrieve data that meets the entered criteria. The ad hoc tool then displays the results to the screen, generates a hard copy report, or creates a PDF file.

Inputs:
- Alaska WIC SPIRIT users identify and enter the parameters for the desired report.
- Alaska WIC SPIRIT users preview the desired report and make modifications if desired.

Outputs:
- Alaska WIC SPIRIT system generates the desired report.
- Alaska WIC SPIRIT system saves the report parameters for future access.

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5   Appendix

5.1   Business Rule Mapping to FSRD Requirements

This Excel ® spreadsheet contains all of the business rules in Alaska's transfer and implementation of the SPIRIT system. This spreadsheet will be maintained throughout the Development, UAT, Pilot and Statewide Implementation.

The spreadsheet is located on the Alaska SharePoint site in the following location:
Deliverables > Final System Requirements Document > **DFA_v1_20120112**

The spreadsheet includes the following information:
- The Primary FSRD requirement.
- The Secondary FSRD requirement.
- The Tertiary FSRD requirement.
- The Location and ID of the business rule. These ID's map directly back to the original CSC/Covansys business rule documentation from the FNS SPIRIT website. Where there are new rules that do not have documentation to support them, an ID was assigned by ASI with a prefix of "x" (e.g., x.14).
- The Business Rule Title.
- The Business Rule ID or database column name.
- The Duplicate Business Rule, if one exists. This occurs as a result of newer business rule column names which replace existing, documented names.
- The Value that the State of Alaska has chosen for its transfer and implementation of SPIRIT.
- The Database Description of the rule. This information resides in the database associated with the business rule.

6   Signature of Acceptance

Please sign and return this page to AnalyzeSoft, Inc. via one of the methods below:

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This document, "AK-HSS-WIC-SPIRIT-FSRD-DFA_v1_JJ-Maximus-SoA_20120111" is accepted as complete by the State of Alaska in accordance with the provisions and requirements stated on page 25, section 1.8 Final System Requirements Document (FSRD) in RFP 2011 0600 9985 issued February 3, 2011.

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Patricia Nault, State of Alaska IT Project Manager   Date
WIC SAM SPIRIT Implementation Project

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